DOCUMENT RESUME

ED 478 779 JC 030 387

AUTHOR	Birmingham, Kathryn M.
TITLE	Toward an Integrated System of Income Acquisition and Management: Four Community College Responses.
PUB DATE	2002-00-00
NOTE	233p.; Ph.D Dissertation, University of Florida.
PUB TYPE	Dissertations/Theses - Doctoral Dissertations (041) -- Information Analyses (070) -- Tests/Questionnaires (160)
EDRS PRICE	EDRS Price MF01/PC10 Plus Postage.
DESCRIPTORS	*Community Colleges; Educational Administration ; *Educational Finance; Educational Planning; Finance Reform; Financial Support; *Fund Raising; Resource Allocation; School Funds; State Aid; Two Year Colleges

ABSTRACT

This study argues that community college funding and resource development must become a long-term core function of the institution due to changes in the source of revenue for community colleges. The research problem was: (1) to identify and describe how organizational structure and management activities have changed in four community colleges in response to the change in proportional funding of college operations by the state government; and (2) to develop and test a theoretical framework. The sources of data for the study were semi-structured interviews with 33 administrators, as well as on-site observations and review of institutional documents. The community colleges were in Florida, New York, North Carolina, and Texas. The four institutions studied were placed at a stage along the Integrated Income Acquisition and Management (IIAM) Continuum. Following the methodology of the comparative case study, modifications to the IIAM Continuum are indicated by the comparative analysis. The document recommends eight factors for implementing and sustaining the integration of income acquisition and management systems. The study found that four of the factors were present at all four institutions. The overriding obstacle for all four institutions was the lack of centralized strategic planning. Research instruments appended. (Contains 140 references.) (NB)

TOWARD AN INTEGRATED SYSTEM OF
INCOME ACQUISITION AND MANAGEMENT:
FOUR COMMUNITY COLLEGE RESPONSES

By

KATHRYN M. BIRMINGHAM

A DISSERTATION PRESENTED TO THE GRADUATE SCHOOL
OF THE UNIVERSITY OF FLORIDA IN PARTIAL FULFILLMENT
OF THE REQUIREMENTS FOR THE DEGREE OF
DOCTOR OF PHILOSOPHY

UNIVERSITY OF FLORIDA

2002

ACKNOWLEDGMENTS

This dissertation is dedicated to my husband, Gerald T. Horton. He is my greatest supporter, critic, and coach. The full measure of my appreciation goes to Jerry for his commitment to me as a full-time doctoral student over the past 2 1/2 years. As an astute strategic planner, he lives the ancient Chinese proverb, "If we do not change our direction, we are likely to end where we are headed." I hope some day to meet his scholarly standards.

I thank my daughters, Tina, Ellen, and Andi, for their patience and understanding while their mother was engrossed in this study. As a qualitative researcher, certainly these three taught me a great deal about the triangulation of data to validate versions of a story.

I would also like to thank my twin sister, Peg Birmingham, for her tremendous encouragement.

To my dissertation committee, Dr. Dale F. Campbell, Dr. David S. Honeyman, Dr. Barbara J. Keener, and Dr. H. John Hall, I extend my heartfelt gratitude for their guidance.

Lastly, I am grateful for my experiences at Eisenhower College. My interest in the income acquisition and management systems of colleges began in the early 1980s at a most unusual private institution. My hope is that the life cycle of a college, as chronicled by Dr. David L. Dresser's 1995 case study, may not have to be learned the hard way.

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TOWARD AN INTEGRATED SYSTEM OF
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By

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May 2002

Chair: Dr. Dale F. Campbell
Major Department: Educational Leadership, Policy, and Foundations

Higher education literature documents changes in the source of the revenue stream for community colleges and states that fundraising and resource development must become a long-term core function of a community college and must be integrated with institutional planning, academic planning, and marketing activities. Organizational structure and management practices of higher education institutions change in response to changes in the funding environment.

The research problem was (a) to identify and describe how organizational structure and management activities have changed in four community colleges in response to the change in proportional funding of college operations by the state government and (b) to develop and test a theoretical framework. The comparative case study examined the advancement activities within the income acquisition and management systems of four community colleges in the states of Florida, New York,

North Carolina, and Texas. An Integrated Income Acquisition and Management Continuum (IIAM) Model was developed.

The four institutional systems were placed at Stage I to V on the IIAM Continuum based upon evidence of their system's integration from 1996 to 2000. The stages are graduated to include key advancement activities, levels of integration of those activities within the advancement function, and level of integration of the advancement activities with institutional planning, budgeting, and evaluation activities.

Each of the cases showed movement toward greater integration of their income acquisition and management systems. The cases illuminate the theoretical foundations of the IIAM Continuum as a model.

The sources of data were semi-structured interviews with 33 administrators as well as on-site observations and review of institutional documents. The findings of this study will contribute to understanding the experiences and decision-making processes of community college leaders in the states of Florida, New York, North Carolina, and Texas. It will be of use to college leaders that desire to integrate the acquisition of federal, state, local, and private dollars as well as tuition and student fees with strategic planning and management. Implications for management and public policy are given. Suggestions for future research are discussed.

CHAPTER 1
BACKGROUND OF THE STUDY

Introduction

Changes in the revenue streams of community colleges are well documented. An Education Commission of the States (2000) study found that the most serious issues facing community colleges across the nation are the dual challenges of increasing state and local financial support for community colleges and improving methods by which the colleges are funded. Increasingly the colleges are seeking funding sources other than state revenues, local taxation, and student fees and tuition (Jenkins & Glass, 1999). Over the past 20 years, external and internal influences have resulted in community colleges moving from total public support to less public assistance as a percentage of the total operating budget (Honeyman, Williams, & Wattenbarger, 1991; Smith, 1985).

Among the external forces affecting the sources of income are economic changes, rising costs of labor and technology, the impact of demographics and immigration, K-12 trends, public policy resulting in legislative cuts, and financial trends. Internal evidences are fund development trends, the response to competition and a new emphasis on marketing, and strategic management practices and hard data showing student outcomes and successes (Alfred, 1996). Competition for government funding and dissatisfaction over the level of productivity and performance of public higher education in the 1990s gave rise to performance funding (Richardson & de los Santos, 2001).

Another documented external force is shrinking public resources to support higher education from federal budgets (Townsend & Twombley, 2001). With college costs outpacing inflation, grants for students declined from 49% to 42% of all federal aid allocated from 1990 to 1996. Loans increased from 48% to 57% for all students during this period. Although the Pell Grant remains a critical foundation of federal financial aid for community college students, the purchasing power of the Pell Grant has fallen sharply during the 1990s, negatively impacting access and equity (Merisotis & Wolanin, 2000). The maximum Pell Grant buys less than 30% of the average tuition, room and board, and fees at public colleges (Callan & Finney, 1997).

Community colleges that in the 1980s and 1990s relied heavily on federal grants, such as Federal Work-Study, Federal Supplemental Educational Opportunity Grants (SEOG), GEAR Up, Carl D. Perkins (for Tech-Prep), and Campus Child Care, are finding they are no longer as plentiful, if available at all (Merisotis & Wolanin, 2000). The great exception is National Science Foundation (NSF) funding. NSF Awards for community colleges have remained constant at around $31.2 million annually from 1995 through 1999 with a jump to $35 million in 2000 (V. Ross, NSF Budget Division, personal communication, September 25, 2001).

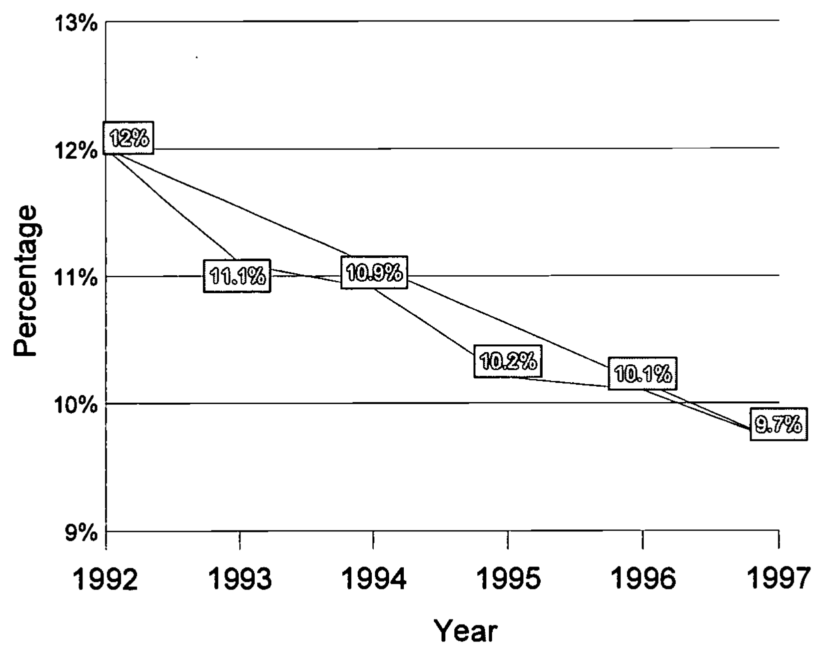
State financing of community colleges has been impacted by the elimination of remedial education in 4-year institutions and public financial assistance plans that award on the basis of merit rather than need (Richardson & de los Santos, 2001). Following the trend to concentrate remediation courses in the 2-year sector higher educational systems, Florida, New York, and Texas have already begun to deliver most or all of their remedial classes in the 2-year sector (Shaw, 2001). In addition, the U.S. Department of Education

(1999) predicts that there will be a steady increase in enrollment in public 2-year colleges over the next decade.

In response to economic pressures, public policy, and level of appropriations, as well as new academic and service challenges, college administrations have become more focused on fundraising and better management practices (Tierney, 1998). Private foundations, individuals, and corporate charitable gifts are receiving greater attention as new sources of income to ensure quality public education (Banks & Mabry, 1988; Keener, 1982; Yee, 1998). Decreasing public investment in education by the state governments can stimulate private development efforts and innovative financial aid solutions (Yee, 1998). Between 1992 and 1997, revenue from private grants, gifts, and contracts increased by 24% for community colleges. The number of public 2-year colleges with endowments grew by nearly 40% between 1992 and 1997 (Phillippe & Patton, 1999).

Higher education competes with health care, prison, police services, and other public services for state financial support. Community colleges have lost ground in the competition for state resources, while at the same time broadening their mission (Breneman, 1997). In 1998, community colleges were educating 43% of the nation's undergraduates for a small share of state and federal higher education monies. In the 1980s community colleges became major competitors for state tax dollars with many state appropriations ranging from 75% to 90% of the total expenditures of the colleges (Richardson & de los Santos, 2001). However, by 1992 state funds accounted for only 46% of community college revenues, local support dropped to 18%, and student tuition and fees covered 20%. Federal and other sources made up 16% of the operating revenues (Education Commission of the States, 2000).

The Western Interstate Commission for Higher Education [WICHE] (1998) data give a more dire picture of overall state appropriations to higher education as a percentage of tax revenue in Figure 1-1. Despite the favorable budgetary environment for many states, the U.S. rate of higher education appropriations to total state appropriations declined from 12% to 9.7% from 1992 to 1997.



Source: Adapted from Western Interstate Commission (WICHE) data, Policy Implications for Higher Education, 1998

Figure 1-1. State Higher Education Appropriations
(As a % of tax revenue for all states in the U.S.)

Merisotis and Wolanin (2000) suggest that revenue trends show that the funding of community colleges has migrated toward a more private and workforce-oriented education model.

> The significant shift in revenue sources toward contracted government and private program funds for training has been accompanied by a parallel decline in operating funds from state tax coffers. At the same time, students have been asked to pick up an increasing proportion of the tab. (Merisotis & Wolanin, 2000)

They claim that the share of community college revenues from state and local government appropriations has shrunk from 70% of total revenues in 1980 to 50% in 1996. This shrinkage of public funding for basic support has declined as the community college mission has broadened. Merisotis and Wolanin recommend that community college leaders change management activities to meet these shifts and attend to tuition pricing policies.

Individual states have reduced allocations to public higher education institutions, federal programs for student grants have been curtailed, deferred maintenance projects have come due, overall personnel costs have escalated, technology infrastructure investments have skyrocketed, and more students, with less financial resources, are pursuing a higher education (Eldredge, 1999). The failure of both state and local governments to provide adequate funding for enrollment increases threatens the access mission of community colleges by making students pay for an ever-increasing share of operating costs (Campbell, Leverty, & Sayles, 1996).

Fundraising as a management practice of community colleges has been influenced by policy emerging at the state level and federal level. According to Schuyler, large-scale external fundraising at community colleges began as a result of the 1965 Higher Education Act and the federal funding opportunities that it offered. In a 1993 survey of American Association for Community Colleges members, 542 of 550 respondents reported having a foundation, and almost 30% reported endowments of more than $1 million (Schuyler, 1997). Fundraising as a management and strategic function of community colleges has taken on a greater importance. The proliferation of foundations and resource development staff was documented through the 1970s by Sharron (1982) and in the 1980s by Ryan (1989a). Between 1992 and 1997, revenue from private grants, gifts, and contracts increased by 24% for community colleges. The number of

community colleges with endowments increased by 40% between 1992 and 1997 (Philippe & Patton, 1999).

A national survey of community college revenue from grants from private and public sources for the fiscal year 1998-99 reported an average of $5.14 million in grant income ($4.15 million through the grants offices and $.99 million through the college foundations). For urban community colleges, the grant income was $6.4 million through the grants offices and $1.6 million through the college foundations with an urban total average of $8 million (Keener, Carrier, & Meaders, 2002).

Another public policy impetus for prolific growth in community college structures for fundraising was the introduction of matching funds from state legislatures to the schools for private dollars raised. Florida, North Carolina, and Texas instituted matching fund programs for the community colleges. In addition, the legislated economic and workforce development missions of community colleges stress public/private partnerships that often result in corporate matching donations for new training programs and new technology (Johnstone, 1997).

Institutionally related foundations are a way to protect private gifts from confiscation by the state to meet budgetary shortfalls in funding. These foundations stand legally apart from their institutions but exist exclusively to enhance their programs. For example, there is the belief among community college foundation staff that having a scholarship fund created through the use of private money is the only way to ensure that the open door policy is realized (Jenkins & Glass, 1999).

There is a body of knowledge and empirical data about how community college foundations are formed and how they operate in relationship to their institutions (Adams, Keener, & McGee, 1994; Banks & Mabry, 1988; Brittingham & Pezzullo, 1990; Council for the Advance and Support of Education [CASE], 1989; Duronio & Loessin, 1990;

1991; Gatewood, 1994; Glandon & Keener, 1994; Jackson, 1997; Jackson & Glass, 2000; Jenkins, 1997; Jenkins & Glass, 1999; Johnson, 1986; Koelkebeck, 1994; Phillippe & Eblinger, 1998; Robison, 1982; Ryan, 1988, 1989c; Schuyler, 1997; Sharon, 1982).

Public 2-year higher education institutions use a variety of systems to acquire grant funding from private and government sources. Most community colleges have disparate systems for acquiring dollars from the state legislature, private foundations, individual donors, and government funding agencies. In other words, the colleges may seek and obtain grant revenue from all of these sources and advancement activities may not be coordinated. Glass & Jackson (1998a, 1998b), Keener (1982), and Keener, Carrier, and Meaders (2002) assert that resource development as an integrated function of the community college will be a critical success factor.

Statement of the Problem

It has been theorized that resource development must become an institutionalized core function of the American community college and that fundraising as an activity of resource development must become integrated with institutional planning, academic planning, and marketing activities (Glass & Jackson, 1998a). Experience tells us that organizational structure and management practices change when the political and funding environment changes. Organizational cultures change when there is a significant change in the organization's environment to which it must adapt to survive (Gold, 1999; Lewin, 1951, 1980).

In other words, the organization must accommodate to the environment within which it exists. The management of community colleges is experiential and learned over time. The management systems and practices of community colleges are studied in social

science research. Case studies have researched decisions about programs, management systems, the implementation process, and organizational change (Yin, 1994).

The research need is to discover how organizational structure, administrative management activities, and faculty management activities have changed in community colleges in response to the change in the proportional funding by the state government of college operations. Community college administrators have authority over designing and coordinating organizational structure and management activities. As the importance and influence of private support other than from the state in the life of higher education have expanded, so, too, have the structures that obtain and manage these dollars.

Purpose of the Study

This study examined the income acquisition and management process and organizational structure in four public community colleges located in the states of Florida, New York, North Carolina, and Texas. The purpose of the study was to identify the qualitative elements of the process and their perceived impact upon the organizational structure and the management activities of administrators and faculty at each of the four institutions. For purposes of the study, the income acquisition and the management systems were compared at four colleges. The institutional systems were placed on a point on the Integrated Income Acquisition and Management (IIAM) Continuum. The colleges systems judged to be more aggregated or less aggregated were based upon evidence of characteristics of the five stages of the IIAM Continuum. The stages are graduated to include certain advancement activities, levels of integration of those activities within the advancement function, and level of integration of the advancement activities with institutional planning, budgeting, and evaluation activities.

Stages I to V on the IIAM Continuum move from disaggregation to interconnectivity of the income acquisition and management system of the institution. The colleges are placed at one of the five stages based on evidence of the characteristics listed in Table 1-1, "IIAM Continuum."

The data from the interviews, observations, and document review answered questions such as, "Does the college perform this advancement activity?" "Who does it?" and "Where is the activity located in the organizational structure?" The colleges are placed at a stage in the continuum from disaggregated to aggregated. A college has attained a higher stage when it can show a higher level of integration of the advancement activities with strategic planning, budgeting and evaluation. For example, to reach Stage IV a college must show (a) evidence of an administrative structure that links academic planning and budgeting with fundraising to achieve strategic goals (i.e., initiatives to integrate the activities of the advancement function) and (b) evidence of methods of determining which revenue stream is best suited to fund each institutional priority and a strategy of income acquisition and, subsequently, a plan to implement these strategies. The analysis and rationale for placement on the IIAM Continuum is linked to interview question responses (Appendix E), site observations, document review, and the academic literature reviewed in Chapter 2.

The comparative case analysis describes the participants' understandings and perceptions and relates the IIAM Continuum theory to the college environments. The college systems movement on the continuum over time is also compared. Understanding the experiences and decision-making processes of leading institutions in bellwether states will be of use to college leaders who desire to integrate the acquisition and management of federal, state, local, and private dollars as well as tuition and student fees. Of particular interest is the integration of raising private dollars, as a new core activity of the resource

Table 1-1. IIAM Continuum

(Stage I Disaggregated)-- (More Aggregated Stage V)

Stage I	Stage II	Stage III	Stage IV	Stage V
College has some of the key activities associated with the advancement function and they are not coordinated Marketing y/n Institutional Research y/n Media Relations y/n Community Affairs y/n Corporate Relations y/n Government Relations y/n Resource Development y/n Foundation y/n Alumni Affairs y/n Publications y/n	College has all of the key activities associated with the advancement function and they are not coordinated	College has all of the key activities associated with the advancement function and some are coordinated	College has all of the key activities associated with the advancement function and they are all are integrated as evidenced by a) institutional strategic management system* b) all directors of the key activities report to an administrator who oversees all of the advancement activities and the president provides top level support for the advancement function c) key activities are interdependent and administrators share and use strategic management information from the other key activities' systems	College has all of the key activities associated with the advancement function and they are all are integrated as evidenced by a) institutional strategic management system* b) all directors of the key activities report to an administrator who oversees all of the advancement activities and the president provides top level support for the advancement function c) key activities are interdependent and administrators share and use strategic management information from the other key activities' systems d) the college evaluation system rewards and recognizes innovating ideas, team building, continuous views of process changes, and attention to learning organization practices that lead to mission-based high performance

* Institutional Strategic Management System has (a) Mission and Objectives, (b) Strategic Analysis including internal and external scanning, (c) Strategy Formulation, (d) Strategy Implementation, and (e) Strategy Evaluation.

development function within advancement, into the colleges' planning. Filling this gap in knowledge is the purpose of the process study. A process study explores the why and how of change while linking context, content, and process of change outcomes. In both the academic and nonacademic sectors, an innovation's meaning is not self-evident, but instead is "gradually worked out though a process of social construction" (Rogers, 1995, p. xvii).

Institutions that do the same things, such as community colleges, can be organized in different ways because the institutions must accommodate to the environments within which they exist. Community colleges may require different advancement activities and relationships among those activities. Management has discretion over designing and coordinating these activities. By applying theory to the qualitative data, the researcher will produce knowledge that can inform higher education administrators of theoretical foundations and successful practice for improving planning and management systems in the community college advancement function. Scholars of higher education finance and management can use the conclusions from this theoretical and empirical inquiry to debate the desirability of integration of the acquisition and management systems for federal, state, local, and private dollars as well as tuition and fees in America's community colleges.

Statement of Intent

The researcher was brought to this study by her experience in local government, the nonprofit sector, and community college management and fundraising; teaching management and leadership theory and practice; as well as academic discourse. The study evolved out of a concern for how changes in the revenue streams of community

colleges have changed organizational structure, notions of management, and professional practice at community colleges in the United States. One mission of community colleges in America is to provide open access to higher education for anyone motivated to learn–regardless of social and economic distinctions. In order to reach this ideal while maintaining quality teaching and instructional technology and services, most community college leaders have considered the necessity of the infusion of private dollars for operating and capital budgets. How this acquisition of private dollars should be managed is debated by community college leaders.

To inform public policy and practice the researcher captured the phenomenon under study with a comparative case study. Case studies capture bounded instances such as decisions about programs, implementing management decisions, and organizational change (Yin, 1994). The portrayals of the college cases were compared and contrasted in an overall comparative study concluding with modification of the postulated IIAM Continuum theory.

The researcher intended to derive the meaning of community college administrators' experiences and relate it to their decisions that caused changes in institutional structure and management activities. Implications of the inquiry included the support or repudiation of the postulated IIAM Continuum theory.

Guiding Research Questions

The theory was that as the sources of income have become more diverse and changed in proportion to one another, community colleges organize themselves on a point along an integrated income acquisition and management continuum. The main

question of the study was, “How have the colleges adapted to the changes in size of the income sources?” The four research questions were

1. How has organizational structure changed?
2. How have the management activities of administrators changed?
3. How have the management activities of faculty changed?
4. Where do the colleges' systems stand on a continuum from a disaggregated system of income acquisition and management to a totally integrated system? Have they moved left or right along the continuum during the bounded instance of the study?

It is hypothesized that an aggregated income acquisition and management system is more desirable than not. Future studies may indicate that aggregated systems result in more income and greater institutional effectiveness than disaggregated systems. More aggregated systems may also help a college to recover more quickly from sudden drops in enrollment and funding crises.

These four research questions were related to the theorized IIAM Continuum. Factors derived from the construct of the ideally integrated advancement function as well as community college advancement literature were used to create an interview guide. Justification of choice of questions for the study were taken from literature and discourses among community college administrators. Through semi-structured interviews the researcher collected data in order to link the data to the theoretical propositions. Interview questions were written to get at factors posited in the theoretical frameworks. The study concludes whether the factors are empirically and theoretically sound.

Significance of the Study

In response to the declining percent of state appropriations as a proportion of operating budgets along with the need for new service and academic programs, community college staff, administrators, and faculty have become more focused on

income acquisition and management. They are also more focused on fundraising as an activity of the resource development subfunction within the function of institutional advancement (Glass & Jackson, 1998a).

America's community colleges are fundraising in order to keep up with demands for technology for their economic development and workforce development missions as well as their learning centered mission. Acquisition of private dollars includes cultivating public/private partnerships for business alliances and corporate contributions. The colleges' success in acquiring income from public and private sources requires a greater finesse with and a greater reliance upon external scanning of constituencies. This requires the integration of the institutional activities that fall under the heading of "institutional advancement." These activities are government affairs, marketing, resource development, media relations, community affairs, corporate relations, institutional research, publications, and alumni affairs. The colleges may also have a foundation to assist in the resource development activities. The community college organizational structures differ widely to cover the function of institutional advancement.

Glass and Jackson's research suggests that private fundraising as a community college activity has only been marginally understood and instigated in times of financial crisis. They claim that resource development must become a long-term core function of community colleges and it must be integrated with institutional planning, academic planning, and marketing (Glass & Jackson, 1998a).

The case studies look at the effect of advancement initiatives on (a) administrative structure, (b) management systems, (c) decisions regarding institutional financial resources, and (d) the integration of income acquisition and management

activities. The proposed research will contribute to the scholarly literature on community college fiscal strategy.

A case study can answer how the administrators of a college arrived at management practices and can describe the stresses and disjunctures that threaten shared income acquisition goals within an institution. A case study can get at the belief systems that make certain errors possible (Yin, 1994). Case studies help in understanding complex interrelationships and patterns of practice (Stake, 1995). The case studies describe how changes in revenue streams can affect the management experiences of community college administrators. The case studies suggest how changing organizational structure, management practice, and observed patterns of practice can assist in institutional success in meeting income acquisition and management goals. A case study can suggest management practices that can be duplicated as best practice.

Definition of Terms

For the purposes of this study institutional advancement is defined as a community college function that encompasses the activities of government affairs, marketing, resource development, media relations, community affairs, corporate relations, institutional research, publications, alumni affairs, and the possible addition of a foundation to affect income acquisition and management.

Resource development is defined as the generation of revenue from both public and private grant sources. Fundraising is defined as activities that acquire monetary contributions from private sources and activities that cultivate relationships with individual financial donors, corporate charities, business and industry, and private

foundations. Private revenue is defined as monetary gifts from individuals, corporate charities, business and industry, and private foundations.

An aggregated management system is one that is considered with reference to its constituent parts. For example, a college is the aggregate of its departments under one common head, the president.

Integration is the process of regrouping and re-linking activities into a unified function in an organization. For example, government affairs, marketing, resource development, media relations, community affairs, corporate relations, institutional research, publications, alumni affairs, and foundation activities are integrated in the advancement function.

Strategic planning is a system of elements such as definition of mission, environmental monitoring, and assessment of internal strengths and weaknesses to determine direction and establish decision-making processes and objectives. An array of strategies are developed to achieve measurable, time-anchored, obtainable, and assigned objectives. The strategies are implemented through the selection of programs and projects. Strategic planning is distinguished from an internally focused, closed system of traditional long-term planning. Instead it is the institution's use of an externally focused open system.

Strategic management is a system that links strategic planning and decision-making with day-to-day business of operational management. Before implementing a strategic plan to obtain objectives, five steps are undertaken:

1. definition of organizational structure and assignment of responsibility,
2. appropriate allocation of resources or budgeting,
3. motivation of employees,
4. approval of administrative policies and procedures, and
5. readiness of executive leadership to change the plan if necessary.

Using these definitions, strategic planning in community colleges treats the interaction of external forces, college systems, and institutional outcomes.

Research Design

A comparative case analysis was used to determine repetition of phenomenon. Theoretical frameworks were used as a template with which to compare the empirical results of the case studies. When two or more cases are shown to support the same theory, a claim of repetition may be made (Yin, 1994).

Methods

The inquiry process and procedures for each use of datum to address each guiding research question are detailed in Chapters 3 and 4. The researcher proceeded in the following manner:

1. Literature and research reviewed
2. Theory developed
3. Questions developed
4. Case study protocols written
5. Interview guides developed
6. Interview guides juried
7. Data collected
8. Descriptive data coded and analyzed vis-à-vis theoretical factors of the IIAM Continuum
9. Findings and conclusions drawn and presented to colleges to further validity
10. Audit peer review conducted
11. Individual case studies written
12. Case studies compared and contrasted
13. IIAM Continuum modified

Thus, the institutional advancement activities and their integration with the income acquisition and management process were identified through qualitative research methods.

Limitations

The study was conducted under certain intent and scope. The focus of the comparative case study was the function of institutional advancement as it related to the income acquisition and management systems in four community colleges, one each in Florida, North Carolina, Texas, and New York. The description was further restricted to advancement initiatives as depicted in the interviews and observed behavior of each of the college's administrators including the written planning documents of the participants from fiscal year 1996 through fiscal year 2000.

This is a study on income acquisition. Although cost containment strategies are often used in tandem with income acquisition strategies as a response to changes in revenue, cost containment strategies were not included. In order for an income acquisition strategy to be considered an institutional strategy the income strategy must be reflected in the planning and operational activities of the college.

Deleted from the consideration was a critique of the specific competencies of each of the advancement systems. The focus was on the aggregation of the systems. The study did not evaluate the organizational culture of the four colleges. Although organizational culture is a part of institutional planning it was not within the limits of this study.

Experience tells us that organizational structure and business practices change when political and funding environment change. The parameters of the study were a bounded instance of five years of advancement function activities and their integration with income acquisition and management systems in each of the four community colleges.

The study did not compare state-to-state funding of operating budgets per se. The changes in the percentages of the operating budgets for each college are investigated as to the meaning of those changes in four particular environments. The responses to the changes are analyzed and compared with an eye toward the documented trends and the trends described in academic literature.

Assumptions

It was assumed that

1. The administrators of the four community colleges are responding to changes in financial support of their colleges and the study asks what are they doing about the changes. The study asks how did the administrators arrive at decisions to change income acquisition and management strategies or pursue an advancement initiative and how did they manage the change?

2. Income generating strategies are formulated before they are implemented and planning is the central process by which they are formulated, therefore structures should be designed to implement given strategies.

3. The decision-making process, planning process, and activities to sustain the change at each college were identified through qualitative research methods.

Organization of the Study

The study is reported in five chapters. Chapter 1 is an introduction to the problem under study and its context. Chapter 2 is a review of the relevant literature and discourses. Chapter 3 describes the data collection and analysis along with qualitative methods used. Chapter 4 is an analysis of (a) how the four colleges responded to changes in funding streams in light of their management and planning systems and (b) where the colleges stand on the IIAM Continuum.

Chapter 5 gives the conclusions drawn from a comparison of the four cases vis-à-vis the theoretical framework. The final chapter also includes the questions and recommendations raised in the study for public policy and practice.

CHAPTER 2
A CONTEXT FOR INQUIRY

The purpose of this chapter is to present a review of the growing scholarly literature on community college income acquisition management, fundraising, and advancement in relation to each of the guiding research questions. The four research questions are as follows:

1. How has organizational structure changed?
2. How have the management activities of administrators changed?
3. How have the management activities of faculty changed?
4. Where do the colleges systems fall on a continuum from a disaggregated system of income acquisition and management to a totally integrated system? Have they moved left or right along the continuum during the bounded instance of the study?

The foundations for the study are community college advancement and organizational management research, higher administration literature, and studies on planning and change in public organizations and community colleges.

The problem was to discover how organizational structure, administrative management activities, and faculty management activities have changed in four community colleges in response to the change in proportional funding for college operations by state government. The design of organizational structure and management activities by community college administrators has an impact on the effectiveness of the institution. The colleges were placed on a point of the Income Acquisition and Management (IIAM) Continuum to show the degree of integration of the key advancement activities with planning, budgeting, and evaluation activities during the 5-year period of the study.

This chapter is organized under four headings: (a) Changes in the Sources of Revenue for Community Colleges, (b) Fundraising in Community Colleges, (c) Resource Development and Institutional Planning, and (d) Income Acquisition and Management as a System. The historical evolution of the problem on a national level is addressed in Chapter 1 and summarized in this chapter under the first heading "Changes in the Sources of Revenue for Community Colleges." That section is followed by "Fundraising in Community Colleges," a literature review of the emergence of fundraising as a core activity of the advancement function in community colleges. Studies on community college organizational structure and changing management activities as they relate to institutional planning are grouped next under the third heading, "Resource Development and Institutional Planning." The last section of Chapter 2 covers organizational management theories and research findings on the factors that comprise the IIAM Continuum under the heading, "Income Acquisition and Management as a System."

Changes in the Sources of Revenue for Community Colleges

Over the past 20 years community colleges have lost ground in the competition with other state agencies for state resources for operating funds. Students, through tuition and fees, have picked up the tab. In 1979, percentages of tuition support for general operations of the community college systems with colleges in this study were 21.50% (FL), 6.90% (NC), 25.20% (NY), and 11.80% (TX) (Breneman & Nelson, 1981, p. 14). In 1999, percentages of tuition support for general operations of the community college systems with colleges in this study were 23.06% (FL), 8.20% (NC), 34.00% (NY), and 19.90% (TX) (Education Commission of the States, 2000, p. 11).

The types of funding sources for public community colleges may be divided into public and private. Most public sources are state, federal, and locally generated tax dollars. All states use state tax funds and charge students tuition for the funding of community colleges. The appropriation formulas for state funding for the four colleges in the study are based on full time equivalents (FTEs) and performance-based budgeting.

Three of the states in this study have local tax components. In these states, New York, North Carolina, and Texas, local funding is obtained from regular property tax (NY), special levy property tax (NC) and local option sales tax (TX). Local funding is also used for capital construction and for other short-term, high-need financing programs and projects.

In looking to federal funding to offset a states' lowered funding base as a percentage of the total operating budget, community colleges seek grants and special programs. While block grants, categorical grants, formula grants, and discretionary funds provide a good means to initiate new programs, they cannot be relied upon to sustain programs on an ongoing basis. Honeyman, Williams, and Wattenbarger (1991) observed that federal funds were not keeping up proportionally with the numbers of students entering public postsecondary education. A 1993 report by the National Commission on Responsibilities for Financing Postsecondary Education and studies by Jenkins and Glass (1999) indicate that federal dollars for postsecondary education have decreased.

Charting the state trends has made it clear that public community colleges cannot rely on the state for tax-assisted increases in funding in the future. The trend of decreasing levels of state support accompanied by an increase in the level that students contribute through tuition and fees to total operating revenue documented in Wattenbarger's 1988 study (Honeyman, Williams, & Wattenbarger, 1991) continues.

Fundraising in Community Colleges

The variety of funding sources, especially the trend toward more private funds, points toward private sector support as necessary for maintaining public two-year institutions and as a source of income to support innovation and excellence (Pezzullo & Brittingham, 1990; Honeyman, Williams, & Wattenbarger, 1991). Nongovernmental financial support is often necessary for capital construction and when government or private contributions require matching funds.

Community college foundations are a source of private dollars for scholarships, student support, faculty professional development, programs, equipment, and capital. According to an AACC survey of community college foundations, local business and industry are cited as the most frequent source of major contributions to community college foundations, followed by individuals not affiliated with the college (Phillippe & Eblinger, 1998).

The growth of community college foundations as an organizational approach to fundraising was most dramatic in the decades of the 1970s and 1980s. In the 1970s the colleges began to adapt the university and liberal arts college model of engaging nongovernmental contributors for private gifts (Keener, 1984). In 1980 only 18 community colleges claimed foundations of 20 years or older. By 1987 about 800 of America's 1,222 community colleges reported having a college foundation (Jenkins & Glass, 1999).

Gifts to public 2-year colleges from private foundations, business and industry, and local philanthropists have grown considerably since the 1980s. In 1986, $50,000 represented a significant endowment for a community college foundation. By 1993, 30% of respondents in an NCRD study reported foundation endowments of more than

$1 million (Adams, Keener, & McGee, 1994). On average, community college endowments more than doubled between 1989 and 1996. There were three community colleges with endowments of more than $100 million, placing them among the largest 275 endowments in American higher education (MacArthur, 2000).

By 1987 53% of community colleges had established a college foundation as a recipient of tax-deductible contributions under Section 501c(3) of the Internal Revenue Code. One hundred and seventy-five colleges created endowments between 1989 and 1995 (Williams, 2000). Through the 1980s many of these foundations were passive, serving only as collection agencies for people who contacted the college about contributing. In 1988 private gifts and endowments accounted for 1% of the total revenues of the average community college (Koltai, 1993). By 1989, only 200 of the nation's 1,222 community colleges reported having aggressive foundations professionally engaged in fund raising operations (Glass & Jackson, 1998a).

A recent study of public community college foundations in Michigan described characteristics of the foundations raising the most money. They were (a) utilizing a foundation annual and strategic plan, (b) promoting a positive college image, (c) articulating the college mission to the public, (d) visibility of college personnel serving the community, (e) active participation by the president, college board of trustees, and foundation board of directors, (f) a full-time professional foundation director, (g) administrative, faculty, and volunteer support for the foundation, and (h) continuous communication to college stakeholders (Miller & Seagren, 1997). Also in 1997, a delphi study of the North Carolina community colleges identified the need for additional training for presidents, trustees, and foundation board members, greater public relations efforts, and the elevation of development officers to senior level status for the

foundations' success (Jackson, 1997). Again in 1997, a case study done on a community college foundation in North Carolina stressed that the foundation's success was attributable to good public relations and organizational development characterized by Robison's (1982) description of the five types of community college foundations (Jenkins, 1997). Robison described five types of community college foundations:

1. Holding corporations, or passive foundations, whose sole purpose is to receive or manage assets.

2. "Old boy" systems with a social head and several friends that solicit funds, but operate the foundation as a personal charity.

3. Actual operating foundations, acting as separate legal entities form the college, managing financial transactions not allowed [by state laws] for public schools.

4. Single purpose foundations, which solicit, disburse, and manage funds for a single cause, such as a library or scholarship fund.

5. Comprehensive mature foundations that include the preceding features and characteristically have ongoing capital campaigns of several years duration.

Beginning in the 1970s and continuing through the 1980s, the American Association of Community and Junior Colleges (AACJC), the National Council for Resource Development (NCRD), and the Council for the Support of Education (CASE) sponsored studies to inform college advancement efforts to acquire financial support from private foundations and corporations. Ryan's work during this period documented the status of community college fundraising and philanthropy to 2-year colleges. Resource lists containing corporate and foundation contact people and funding policies, bibliographies, literature reviews, case studies, and best practices were available throughout the latter part of the 1980s (Duffy, 1982; Ryan, 1988, 1989a, 1989b, 1989c; Ryan & Smith, 1989). The 1986 Handbook of Institutional Advancement (2nd ed.), edited by Rowland, was updated in 2000 to include more relevant practice for the key

activities of the community college advancement function. There is a greater emphasis on the use of integrated marketing and government relations activities to strengthen community college advancement.

Correspondingly, there was a huge increase in private dollars for community college operations and development. While in the 1970s federal grants contributed to public 2-year colleges more than any other resource development source, by the mid-1980s financial support from private sources had taken a greater share. In 1986-1987 almost 44% of monies from resource development to community colleges was provided by corporations, alumni, individuals, and private foundations (Ryan, 1988). In analyzing a 1997 survey, Phillippe and Eblinger (1998) also cited local business and industry and individuals not affiliated with the college as major contributors. The other revenue sources cited most often for the college foundations were foundation board members, government or state matching programs, national corporations or foundations, college staff or faculty, college alumni, development staff, and college board members (Phillippe & Eblinger, 1998). The Council for Aid to Education reported that after an 8.6% decline in private gifts to community colleges from academic years 1996-97 to 1997-98, public and private community colleges experienced a 37.9% increase in 1998-99. The 1998-99 increase–from $98 million to $129 million–is attributed to greater experience with organized campaigns as 2-year schools progressed from annual drives and major gift campaigns to more sophisticated planned giving and capital campaigns (Lively, 2000).

Resource development must generate revenue from both public and private sources. Honeyman, Williams, and Wattenbarger (1991) have suggested that resource development has attained a new dimension–diversification. Traditionally, community colleges have looked to alumni for support of capital campaigns. The activities of

resource development have broadened to include the investigation and acquisition of funds from a diverse population of constituents. The fund raising repertoire has broadened along with the image building and research activities required for external scanning and relationships (Schuyler, 1997).

Many terms are used to describe systematic efforts to attract financial support. In community college culture, "advancement" implies forward movement on the fronts of media relations, marketing, image promotion, alumni programs and activities, fund-raising, and external relationships with all constituents. Enrollment management activities may be included in the advancement function in some community colleges as it produces tuition and fee income, but this is not the usual practice at this time. "Advancement staff are the strategists and practitioners, the fundraisers, the publicists, the image builders, and the connectors" (Tromble, 1998, p. 13). In his text on principles and practice of educational fundraising, Worth also places educational fundraising in the broader context of institutional advancement. He describes educational fundraising as beginning with the sophisticated process of development, a stage in which the fundraising goals are based upon the academic needs of the institution and financial donor aspirations are meshed with the academic objectives. These steps require considerable research for identification of prospects, and prospect tracking and management. Consequently, the development stage must be undertaken before gifts may be solicited from donors. Therefore, fundraising is episodic while development is continuous (Worth, 1993).

In undertaking the fundraising strategies of annual campaigns, planned and deferred giving, capital campaigns, special event fundraising, grants identification and acquisition, and business partnerships for cultivation of corporate gifts, there is a need to

enhance the image and visibility of the college. A 6-year study of community college fundraising found that those colleges that are most successful in fundraising have two characteristics in common–strong marketing and widespread community support (Keener, Ryan, & Smith, 1991). Schuyler (1997) contends that as community college foundations play an essential role in the future of community colleges their resource development professionals should be specifically trained in both the technical aspects and the human factors of fundraising.

Lovelock and Weinberg (1984) found that the search for increased revenues from existing markets and from entirely new revenue sources is changing the orientation of many public organizations. They report that the organizations are developing a structure closer to that of private firms, becoming more entrepreneurial and more commercial as they are increasingly more interested in the utility of marketing practices. Oster documented this same orientation change in nonprofit organizations in her 1995 case studies (Oster, 1995). A study of markets allows the organization to examine ways to supplement and diversify its funding base (Lauffer, 1984). In order to better study external constituencies and trends, the function of institutional research is taking on a greater role. Membership surveys conducted between 1988 and 1998 by the Association of Professional Researchers for Advancement (APRA) have declared that professional fundraising in community colleges has given rise to a new information specialist profession. This career path, which has been known as prospect research or advancement research, is also defined as information resources management for advancement (Mayer, 1999).

Although community college foundations may lack the loyalty of older and financially successful alumni, and the more experienced staff of well-established 4-year

institutions, they have an edge in resource development when they can show a company how their success serves its interests. Thus, corporate relations activities are grouped with the other activities associated with the advancement function because community colleges are in unique positions to attract corporate gifts by demonstrating matching and parallel priorities (Worth, 1993).

Scholarly research on the community college foundation began in earnest in the early 1980s. This was mainly descriptive research, such as Robison's Types of Foundations (1982). During the decade of the 1980s there was little research on the process by which community college foundations achieved success (Baxter, 1987; Brittingham & Pezzullo, 1990; Carbone, 1986; Jenkins & Glass, 1999; Loessin & Duronio, 1989).

Carbone (1986) found that very few studies have focused on resource development activities at public higher education institutions. This trend has been consistent despite Robison's identification of the need for qualitative research on actual foundations in 1982. Carbone documented the need for case studies of specific fund-raising programs in 1986; Brittingham and Pezzullo (1990) agreed that case studies on the new core activity of fundraising in higher education income acquisition are needed.

Loessin and Duronio (1989) found that foundation fundraising activities and capacities to raise funds vary widely. Qualitative studies can capture the "deliberate, sustained efforts involved in successful foundation activity" (Loessin & Duronio, 1989, p. 14) and the process aspects of fundraising. The case studies presented here capture activities and decision-making processes related to resource development and income acquisition and management capacity at four community colleges. The study sought

answers to questions regarding changes in organizational structure and management activities as well as changes in the integration of activities.

Literature that suggests how to address these process questions is found mostly in studies on institutional planning and organizational behavior theory. These are covered below under the headings "Resource Development and Institutional Planning" and "Income Acquisition and Management as a System."

Encapsulating the 20-year trend in fundraising in community colleges, Glass and Jackson (1998b) argue that resource development officers have become the new power brokers when they have a direct report to the president of the institution, are informed about strategic issues and planning, and participate in setting college priorities and fund-raising goals. Although community college leaders report that private fundraising is of increasing importance to their institutions, private fundraising efforts have not been integrated into planning and management (Glass & Jackson, 1998a; Jackson & Glass, 2000). Brittingham and Pezzullo (1990) define fundraising as integral to institutional priorities for reasons beyond the revenues generated. "Each accepted gift, with all its stipulations and restrictions is a statement about what the institution is willing to become [and] how it is willing to see itself and the world" (p. 57).

Resource Development and Institutional Planning

Organizational Structure

Resource development and fundraising are implementation activities for the strategic planning process. It takes money to realize the mission, to fund programs, and to carry out activities. Organizational structures should be designed to implement strategies (Jackson & Glass, 2000; Knight Higher Education Collaborative, 2000; Thompson & Strickland, 2001; Tromble, 1998).

For example, if there is an assumption that public community colleges should be democratizing institutions that provide access and opportunities for students who have traditionally been shut out of the higher education experience, then this assumption should be reflected in the mission of the college and in the mission statement of the college's foundation as well. Control issues with community donors who give very large gifts or conflicts between the college board of trustees and the foundation board members may be prevented when the foundation's mission is seen as to implement the institution's strategic plan (Evelyn, 1999). Some colleges structure the alignment of foundation goals with college mission, objectives, and activities by having the development officer report directly to the president of the college (the staff model approach). Matsoukas (1996) agrees with Ryan and Smith (1989) and Keener (1989) that the line model for the advancement function best serves the community college mission.

Answering the strategic question, "How will we pay for the implementation and realization of the mission of our college?" requires strategic planning to align the institution with its environment. The first step is gaining an understanding of that environment. The literature indicates that structuring the chief advancement officer as a direct report to the president and as a peer of other senior officers improves the alignment of resource development goals with institutional planning. As far back as 1976 Wattenbarger advocated for the resource development officer's role in campus planning and oversight of advancement activities. In 1988, Ryan introduced a line model that placed the chief advancement officer in line with the chief academic, student services, and administration services officers all with direct report to the president.

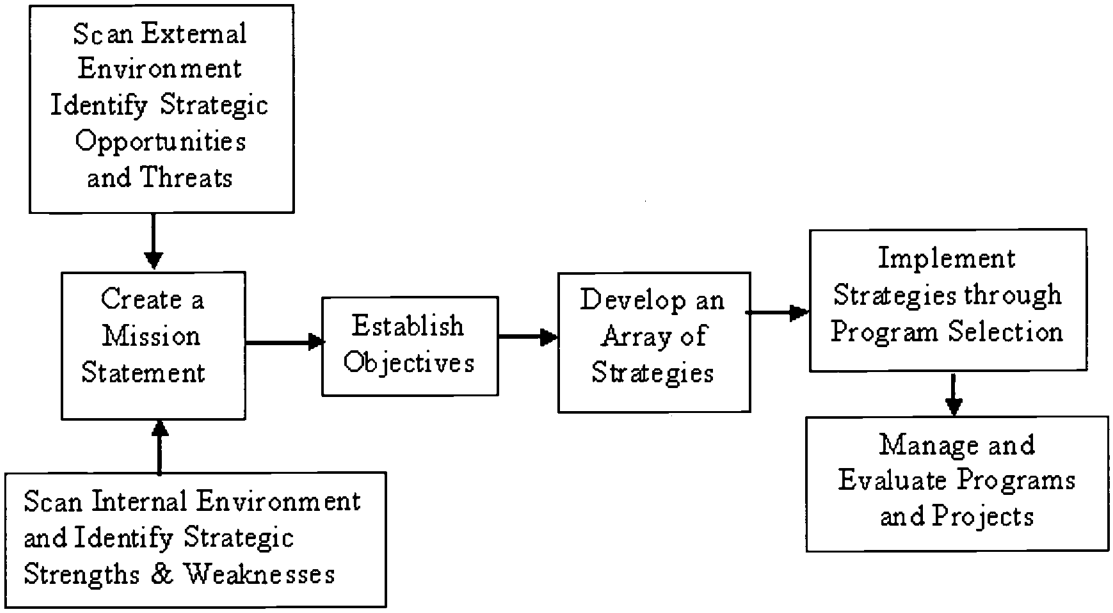
There is growing commitment by community college administrators and faculty to concentrate the use of resources and focus on priorities for their use. These commitments lead to a strategic decision-making where the process of strategic planning

can increase the effectiveness of outcomes of the decisions. The challenge is that strategic planning requires an understanding of external expectations and their contexts in order to develop responses to the expectations in the form of objectives and to sustain responses as strategic change (Rowley, Lujan, & Dolence, 1997; Pettigrew, 2000).

When resource development officers understand relationships between their college's programs and its external environment they may adapt to or influence changes that impact fundraising. In a survey of the presidents of the 58 community colleges in North Carolina, the respondents advocated elevating the position of development officer to senior level and ensuring his/her involvement in institutional planning and decision-making (Glass & Jackson, 1998a).

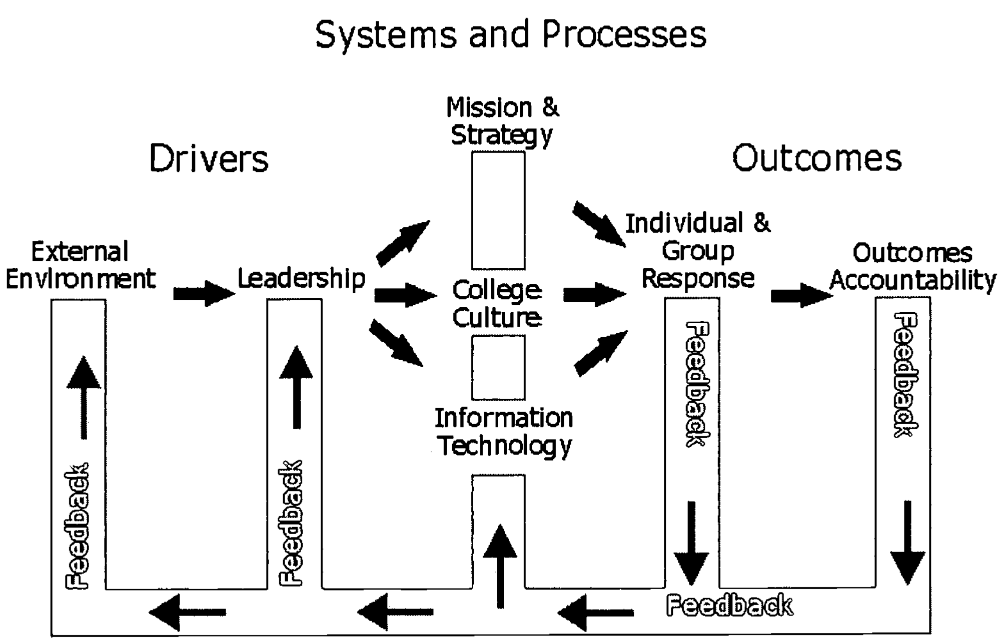
As a leadership function strategic management involves the integration of future-shaping processes with operational levels of strategy making. It encompasses strategic planning and other management techniques (Myran, 1983). Strategic planning and strategic management begin with a scan of the external environment to identify emerging issues that pose threats or opportunities to an institution. Evaluation of these issues is followed by trend forecasting, the establishment of objectives and strategies, and the implementation and monitoring of results. The diagram in Figure 2-1, "An Institutional Strategic Management Model," charts the flow of this process. This is an iterative process whereby administrators may cycle back to activities as necessary in the event of unforeseen public policy, regulatory, or environmental changes.

Most models of institutional planning and strategic management for higher education assume that external forces drive the central administration to develop systems and processes to produce responses and outcomes. Baker's "Core Values Model" for community colleges emphasizes a focus on the college culture and the results of responses to the strategic management process (Figure 2-2).



Source: Adapted from Birnbaum, 2001; Dolence & Norris, 1995, Mintzberg, 1994; Schmidtlein, 1990; Thompson & Strickland, 2001.

Figure 2-1. An Institutional Strategic Management Model



Source: Baker, 1998

Figure 2-2. Core Values Model

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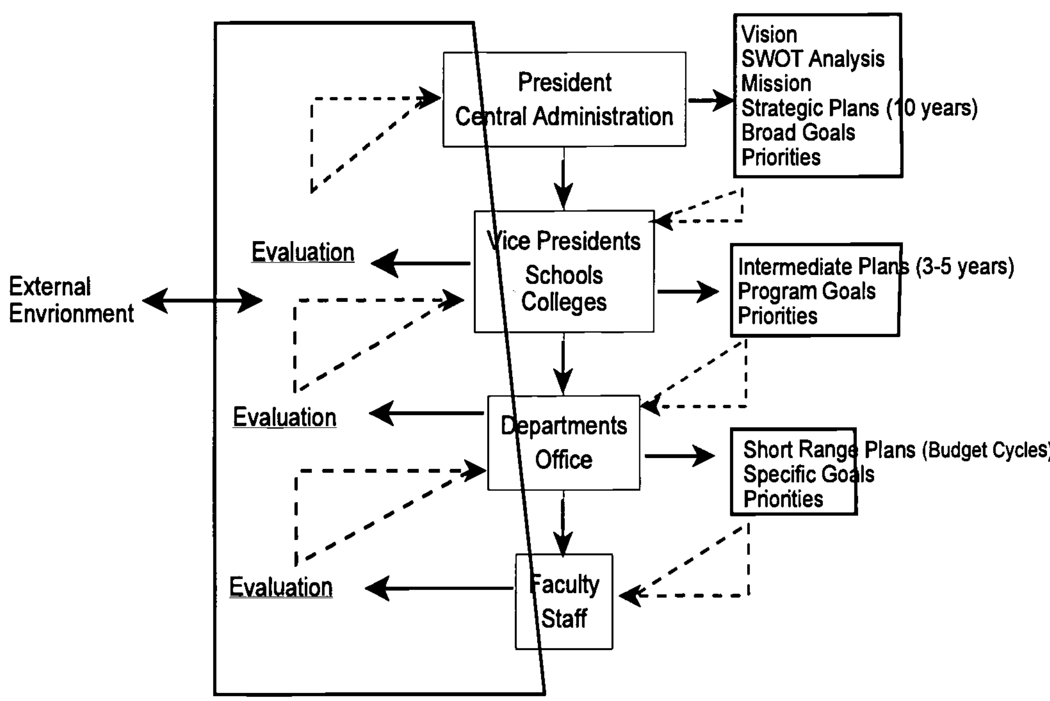
Barker and Smith's (1997) "Internal Management Model for Institutional Planning" identifies the elements of strategic planning, and also provides for evaluation and feedback starting at the lowest level in the institution using a hierarchy of plans to support goals (Figure 2-3). This model suggests that the interest and involvement of the president is critical to the success of the plan.



Source: Barker & Smith, 1997

Figure 2-3 Internal Management Model for Institutional Planning

Peterson and associates (1997) examined strategic planning and strategic management in higher education institutions and concluded that there is no fixed protocol for academic strategic decision making. The differences in models seem to be more differences of form than differences of substance. Above and beyond the inherent

elements of strategic management–treating the interaction of external forces, college systems and processes, and outcomes–it must respond to culture and include a senior level champion of strategic change with the buy-in of other campus leaders. Strong and continual communication along with the discipline of ranking priorities is essential (Peterson et al., 1997).

A crucial factor in strategic planning and management in higher education is the relationship of funding and program implementation (Baker, 1998; Barker & Smith, 1997; Cohen et al., 1994; Peterson et al., 1997). "Many community colleges have sophisticated development and finance systems. The problem is that rarely are they connected at vital points" (Peterson et al., 1997, p. 319). This study assumes that institutional effectiveness is increased with a greater integration of strategic planning, budgeting, and financial allocation systems. The IIAM Continuum includes all the elements of strategic management for the institutional strategies related to image building, integration of the advancement activities, income acquisition and management, evaluation of activities, and motivational aspects of making change in the income acquisition and management system.

Higher education planning literature focuses on decentralized decision-making for strategic planning. Schmidtlein (1990), Benjamin and Carroll as cited in Tierney (1998), Howell (2000), Pettigrew and Fenton (2000), and Bimbaum (2001) state that a new decentralized organizational structure may be required for strategic decision-making. In his discussion of how the structure of the college determines where power and authority will be placed, Baker (1998) contends that existing organizational structures of community colleges "have not provided the degree of control and accountability desired by external accountability forces" (p. 12). These researchers suggest that organizational

structure and strategy must hold equal importance in higher education planning because of the interdependence of increasingly complex systems. The need to fit structure to strategy is now well accepted. The density of this fit requires attempts at centralizing strategy and decentralizing operations.

In advancement function literature, the debate continues over centralized or decentralized operations (Worth, 1993; Worth & Asp, 1994). Keener (1989) asserted that the effectiveness of planning for resource development is dependent upon a community college organizational structure that links the resource development function to the rest of the institution. In a centralized income acquisition and management system, all resource development and advancement staff and programs are organized within a central college advancement office. In a decentralized system, resource development and advancement efforts are divided by divisions within the community college. Resource development and other advancement directors report to the deans or directors of the programs they serve or campus provost. While arguing for an integration of all of the activities associated with advancement, Worth (1993) warns that the advancement structure decisions should not be based on lines of authority as much as on (a) staff commitment to the campus or program, (b) ease and quality of goal setting and planning, (c) evaluation and compensation, (d) training and career development, and (e) major gift and grants management.

Glass and Jackson (1998a) recommend that the decision to use a staff or line model for resource development within the advancement function should be predicated on the size, location, and competitive situation of the community college.

> In the staff model, the development officer is an adjunct of the president's office. This model grows out of the philosophy that the president is the chief advancement officer and his or her leadership is predominant in fundraising. In

> the line model the development officer reports to the president, but on an equal footing with academic, business, and student affairs. This structure permits a flow of information through interactions with other administrators, enabling the development officer to address institutional concerns. (Glass & Jackson, 1998a, p. 179)

This study analyzed the position of advancement officers in four colleges on the organizational chart (staff or line) and in regard to formal and informal authority (centralized or decentralized), with particular attention to working relationships and communication systems with offices with which the foundation officer must interact regularly to be successful. Phillippe and Eblinger (1998) identified these offices (in order of time spent) as the president's office, public information, institutional advancement, resource development, fiscal planning, enrollment and registrar, economic development, and contract training. In addition, Matsoukas (1996) suggests that there is a relationship between the location of the college grants office in the organizational structure and the office's level of success and argues for an integrated model of the advancement function.

Cain (1999) posits that communication patterns in community colleges both reveal and create the nature of relationships. Verbal, nonverbal, and contextual communication must be transactional (Cain, 1999).

A 1991 survey found that community college presidents' preferred an organizational structure that maintained the following advancement activity staff positions with direct report to the president: public relations, development and research, and development/alumni affairs (Underwood & Hammons, 1999).

Phair and King's (1998) study of organizational structures for the advancement function suggests that the organizational chart is not as important as advancement administrators' knowledge of what roles the key advancement offices can play. They describe current restructuring in the advancement function as due to three factors: the

ascendancy of marketing in higher education, the growing role and impact of technology, and the necessity of capital campaigns. "Institutions that are heavily enrollment and marketing driven–especially community colleges–often place the advancement functions under enrollment management" (p. 65). An example is Macomb Community College where the vice president for marketing and enrollment services oversees enrollment services, public relations, and marketing.

Changing Management Activities

Literature on the changing roles of community college administrators and faculty stresses increased attention to marketing and grants management activities. Miller and Seagren (1997) contend that despite the growing scholarly attention to community college fundraising and advancement, department chairs have rarely been studied in regard to income acquisition and management. Their study of 9,000 academic leaders, department chairs, deans, and program heads in the United States and Canada implied that although half of the academic administrators believed that they had no financial management responsibility to seek external funding, 64% agreed with the concept of seeking external funding for their departments. In agreeing to take on this new challenge, the academic administrators felt strongly that they needed applied training to cope with the increased attention and time they spend on grant proposal writing, marketing, and grants management activities and how these are related to institutional strategic planning (Miller & Seagren, 1997).

Dickinson (1999) predicts a transformation in the role of community college faculty from that of instructor-worker to that of learning process manager. This study looks for evidence of an emphasis on resource development and external relations

becoming a part of community college academic vice-president, dean, and department chair responsibilities.

Acknowledging that higher education governance is largely consensual, the research suggests that the support of faculty and other key decision-making groups along with building coalitions with administrators and faculty leaders is necessary to implement change successfully. New organizational structures and rewards for team efforts are necessary (Tierney, 1998). This study looks at how academic administrators and faculty establish objectives, develop an array of strategies, select strategies, and implement these strategies with resources obtained through resource development activities.

Income Acquisition and Management as a System

When the activities of income acquisition and management are integrated in the American community college, they compose a system that involves all of the advancement activities; that is, Marketing, Institutional Research, Media Relations, Community Affairs, Corporate Relations, Government Relations, Resource Development, College Foundation, Alumni Affairs, and Publications. This system, when integrated with strategic planning, budgeting, and resource allocation systems, provides the theoretical context for the IIAM continuum. Thus the income acquisition and management system is built of other systems in mutual dependency and as such is a whole with irreducible properties. It cannot be separated into orderly components because it is more than the sum of its parts—relationships, people, and resources (Cain, 1999).

Fundraising, public relations, and marketing are approached by higher education scholars as subfunctions of institutional advancement. Kelly (1991) places fundraising as a specialization of public relations. Based on her work and Gruning and Hunt's (1984) four models of public relations behavior, Kelly sees the activities of fundraising under the umbrella of managing important relationships and institutional communications. This differs from most fund- raising professionals' placement of public relations in a supportive role. Duronio and Loessin (1991) define fundraising as a marketing activity as in "telling the college's story." Sevier, a proponent of integrated marketing, found that higher education institutions are rarely optimally organized from a marketing perspective. He places a great importance on integrating the key advancement activity of marketing with the college's strategic plan. This integration lends greater assessment of target audiences, a greater sharing of resources and goals, and greater message integration for recruitment, public relations, institutional research, and governmental relations. Integrated marketing is more narrowly focused than the communications plan and is distinguished by its commitment to strategic, organizational, and message integration (Sevier, 1998, 1999, 2000).

The necessity of integrating resource development into institutional strategic planning has been trumpeted for almost twenty years (Glass & Jackson, 1998a; Ryan, 1989c; Tromble, 1998; Worth, 1993; Wattenbarger, 1994). The notion that greater integration of institutional and financial planning may lead to greater college effectiveness is supported by Cohen et al. (1994) in their comprehensive work, The American Community College. The case for linking strategic planning and budgeting in community colleges is made by McClenney and Chaffee (1985) and by McClenney in Baker's A Handbook on the Community College in America (1994).

Public two-year postsecondary institutions' systems of income acquisition and management are inherently different than those of public four-year universities because community college programs and missions are more influenced by state and local revenue systems and the local city, town, county, or area that comprises the sponsoring or funding community (Cohen et al., 1994). This necessary difference in approaches to income acquisition and management systems and, consequently, the structures that raise and manage the dollars from private support is often seen as the reason why community college income acquisition effectiveness is contextually driven. In the competition for private funding, fundraising by community colleges might follow a community-based rather than a traditional four-year educational fundraising model (Eldredge, 1999; Jackson & Glass, 2000;). This study related the IIAM continuum to four community college contexts.

There is a growing feeling that community college administrators must improve their relationships with those who criticize them for raising tuition and continued lapses in accountability and the detractors who threaten to withhold or reduce funding. Scholars suggest that to regain credibility higher education institutions must create strategies to counteract the inertia of academic culture (Baker, 1998; Rowley, Lujan & Dolence, 1997).

There is a general acceptance of the concept and value of strategic planning in business, private nonprofit, and public organizations. The value of strategic planning in higher education has been championed by the National Center for Higher Education Management Systems (NCHEMS) and the Society for College and University Planning (SCUP). However, there is confusion over the term "strategic planning." Planning language has been overused and incorrectly applied as jargon. This misuse of strategic

planning language makes it confusing and uninformative for organizational planners (Mintzberg, 1994; Pettigrew, 2000; Rowley, Lujan & Dolence, 1997; Thompson & Strickland, 2001). This has led to cynicism among higher education administrators about strategic planning and has led to strategic planning being lumped with other management fads such as Zero-Based Budgeting, Planning Program Budgeting System, and Management By Objectives (Birnbaum, 2001).

There is a critical difference between operational planning (operations-driven planning) and strategic planning (opportunity-seeking planning). An analogy for this study is: management will not fix the funding problem in these community colleges, but managerial judgment can help the administrators and faculty to implement a strategy to align the institution and its resource development activities with its mission and environment.

Best practice in academic management is not the same as best practice in business management. The literature on higher education planning stresses the importance of adapting planning practices to the institution's unique characteristics (Schmidtlein & Milton, 1990). Because individual community colleges do not have control of the strategic variables of price, location, and program, academic leaders' options are confined to the limited authority of supporting relatively autonomous professionals (i.e., faculty and specialists) within the context of a particular governance framework and culture. Academic planning requires external scanning of constituent groups with conflicting goals. Therefore, administrators must customize ideas to be consistent with the college's shared governance structure and culture, achieve top-down support for the ideas, and sustain them through systematic implementation of strategic objectives and an integrated comprehensive evaluation system (Birnbaum, 2001; Chaffee, 1982, 1985;

Ferlie, Ashburner, Fitzgerald, & Pettigrew, 1996; Pettigrew & Fenton, 2000; Schmidtlein, 1990; Rowley, Lujan & Dolence, 1997; Thompson & Strickland, 2001). This recommendation suggests that participative planning systems that include internal and external constituents in the early phases of planning the process may be more important than the plan itself if the goal is to make decisions strategically.

Tierney (1998) posits that there must be a systematic and integrated system that guides overall resource allocation in higher education institutions, which includes (a) flexibility to changing objectives, (b) broad communication to support decision-making throughout the institution, (c) resources to support the integrated planning, and (d) incentives for individuals to support the institution's objectives. Studies of particular models of strategic planning systems in community colleges show that organizational effectiveness may be increased by integration of strategic planning, budgeting and resource allocation. A study of 59 community colleges in the southeast found that those with well-written documentation of planning had a higher goal attainment (Greer, 1999). A study of 107 California community colleges showed inconsistencies between planning and resource allocation which resulted in a low mean ranking of the integration of planning, budgeting, and financial resource allocation. Institutional size was not significant (Williams, 1998).

Institutional effectiveness planning models which allow for outcomes assessment to be linked with strategic planning and budgeting are available for review (Nichols, 1996). Colleges are beginning to use software packages for this purpose (Braswell & May, 2000; Greer, 1999). San Jacinto College (TX), Lakeland Community College (OH), and others are cited as examples of early models of institutional effectiveness planning (Braswell & May, 2000).

In order to implement and sustain the changes brought by strategic decision-making and planning that integrate income identification, acquisition and expenditure, many factors are recommended. Eight of these are repeated in higher education administration and public management literature as best practice. These are

1. Persistent and top level support of the president and senior administrators through posing issues for strategic change and tolerating controversy (Baker, 1994; Birnbaum, 2001; Peterson et al., 1997; Pettigrew, 2000; Roueche & Baker, 1987; Rowley & Sherman, 2001; Tierney, 1998; Vaughan, 1986).

2. Skill in leading change and in linking strategy and operational change (Alfred & Carter, 1999; Cohen et al., 1994; Deegan and Smith as cited in Baker, 1994; Pettigrew, 1988, 2000; Rowley, Lujan, & Dolence, 1997; Rowley & Sherman, 2001; Tierney, 1998). All decision makers must have access to information regarding the issue and the context of the problem and its impact on the organization, and buy into the implementation of strategic objectives to act on the problem. Tying strategic enrollment management, resource planning, and academic planning with budgeting is key here.

3. Customization to draw in commitment of operational levels (Chaffee as cited in Tierney, 1998; Hecht, Higgerson, Gmelch, & Tucker, 1999; Peterson et al., 1997; Pettigrew, 2000; Rowley, Lujan, & Dolence, 1997; Rowley & Sherman, 2001; Schmidtlein, 1990; Vaughan, 1986).

4. Operations indicators to create and publicize interim successes (Nichols, 1996; Pettigrew, 2000; Rowley & Sherman, 2001). Educating participants and stakeholders about the plan and making the planning document public (Butterfield & Wolfe, 1997)

5. Team management (Cohen et al., 1994; Deegan as cited in Baker, 1994; Ewell & Chaffee as cited in Tierney, 1998; Pettigrew, 2000; Rowley & Sherman, 2001).

6. Organizational structures and team/individual rewards and recognition that move behavior in desired directions (Baker, 1994; Carroll as cited in Tierney, 1998; Cohen et al., 1994; Galbraith, 2000; Pettigew, 2000; Roueche & Baker, 1987; Rowley & Sherman, 2001).

7. Continuous views of process changes e.g. incorporate strategic planning as a continuous process focusing on outcomes assessment and opportunities (Baker, 1994; Butterfield & Wolfe, 1997; Cohen et al., 1994; Peterson et al., 1997; Pettigrew, 2000; Rowley & Sherman, 2001; Senge, 1990). By creating processes and techniques specifically aimed at facilitating change, the college employees can become continuous learners to help create an overall competency of how to better compete in the external environment.

8. Coherent management of overall process of change in organization (Baker, 1994; Birnbaum, 2001; Peterson et al., 1997; Rowley, Lujan & Dolence, 1997; Rowley & Sherman, 2001; Senge, 1990; Tierney, 1998). This last factor includes long-term vision, short-term successes, and linking strategic planning and operational changes. Here the emphasis on mission-based performance integrated into institutional culture and practices whereby continuity of practice leads to mission-based performance. Examples of this factor are capitalizing on centralized databases, use of planning software, outsourcing data collection for student success, and reduction of reporting duplication.

In the four colleges in this study there are (a) state system level changes in revenues and spending patterns over time, (b) revenue and expenditure differences and foundation activity differences among the state system colleges (c) a variety of advancement activities present, (d) a variety of organizational structures, (e) a variety of best practice within the advancement units of resource development, institutional research, marketing, etc., (f) a variety of strategic initiatives grouped to integrate private revenue into planning, budgeting, and fundraising efforts, yet the study theorizes the colleges may be placed on a model because the management and planning principles are applicable to all institutions. "Sound management reduces uncertainty through the application of judgment to context-specific situations in order to define problems in ways that may lead to effective action" (Birnbaum, 2001, p. 225).

Where is the juncture between management theory and the strategic environment of the college? The fiscal strategy should lie here. The elements of fiscal strategy are resource identification, acquisition, and resource allocation.

Summary

The literature review in this chapter gives justification for this comparative case study. The scholarly work described changes in the sources of revenue for community colleges and how fundraising, resource development, and institutional planning fit within

the framework of the advancement activities. Organizational structure and changing management activities are defined within the context of fiscal strategies of community colleges. Income acquisition and management activities are shown as a system. The development of the IIAM Continuum is built upon the research reviewed in this chapter. The factors of the IIAM Continuum are based upon empirical research and theories to build a coherent model.

"New funding streams change the fundamental shape of the river, and institutions must strike a balance between managing a coherent identity, matching items on deans' wish lists with institutional priorities, and identifying those strategic initiatives that also map to donor expectations" (Knight Higher Education Collaborative, 2000, p. 3). The literature reviewed in Chapter 2 also indicates that in addition to reshaping, building, and maintaining new linkages and cooperative relationships among external constituents, community colleges must reshape the relationships and decision-making apparatus among internal stakeholders as part of fiscal strategy making.

In the following chapter the methodology for the comparative case study is explained. Chapter 4 is a presentation and analysis of the data for each of the four case studies. The last chapter presents the cross-case conclusions and modifications of the IIAM Continuum. Recommendations for public policy and future studies are given in Chapter 5.

CHAPTER 3
RESEARCH METHODOLOGY

This chapter defines the research methodology used in this study. The research purpose, problem and design are detailed; the research instrument and research sample are described. The data collection methods are listed followed by the methodology used for data analysis. The colleges were placed at one of the five stages based on evidence of the characteristics required for that stage.

Research Problem

The research problem was to discover how organizational structure, management activities of administrators, and management activities of faculty have changed in four community colleges in response to the change in the proportional funding of college operations by the state government. As the importance and influence of support other than from the state in the life of higher education have expanded, so too have the structures which obtain, raise, and manage these dollars.

Unlike deductive research in which the researcher hopes to find data to match a theory; this study is inductive in that a theory is found to explain the data (Geotz & LaCompte, 1984). Qualitative research is most useful here for exploring institutional phenomena, articulating participants' understandings and perceptions, and generating tentative theories that directly pertain to particular environments (Hathaway, 1995).

Purpose of the Study

This study examined the income acquisition and management activities within four community colleges located in the states of Florida, New York, North Carolina, and Texas. The purpose of the study was to identify the qualitative elements of the process and their perceived impact upon the organizational structure and management activities of administrators and faculty at each of the four institutions. The advancement systems within the income acquisition and management systems were compared at four colleges to place each of the institutional systems on an Integrated Income Acquisition and Management (IIAM) Continuum. Stages One to Five on the IIAM Continuum move from disaggregation to interconnectivity of income acquisition and management activities of an institution. The colleges were placed at one of the five stages based on evidence of the characteristics required for that stage.

The data from the interviews, observations, and document review revealed factors, such as, "Does the college perform this advancement activity?" "Who does it?" and "Where is the activity located in the organizational structure?" The colleges were placed on a stage in the continuum from disaggregated to aggregated. A college attained a more aggregated stage when it showed a higher level of integration of the advancement function and planning systems. For example, to reach Stage Four a college must show (a) evidence of administrative structures that link academic planning and budgeting with fundraising to achieve strategic goals, that is, initiatives to integrate the activities of the advancement function, (b) evidence of methods of determining which revenue stream is best suited to fund each institutional priority and a strategies of income acquisition for that revenue stream; and subsequently (c) a plan to implement these strategies. The analysis and rationale for placement on the IIAM Continuum is based upon the academic

literature in Chapter 2 and linked to the data from the interviews, site observations, and document review.

The case studies described participants' understandings and perceptions of changes in management activities and related the IIAM theory to the college environments. By applying theory to the qualitative data collected, the researcher produced knowledge that can inform higher education administrators of theory and successful practice for improving planning and management systems in community colleges.

At the conclusion of the literature review, qualitative elements were identified and categorized. Data collection was conducted in two phases. The first phase included collecting data related to the selection criteria of the colleges. The second phase was conducted through four site visits to the college to interview administrators, observe planning meetings, and to review materials related to the advancement process and income acquisition and management. Data analysis was conducted in two phases. The first phase examined advancement and management activities. The second phase was coding interview transcripts and employing qualitative evaluation techniques (content analysis) to determine the perceptions of the administrators regarding where their college was placed on the IIAM Continuum and which factors (qualitative elements) were in evidence to warrant the placement of the income acquisition and management system at a stage of the IIAM Continuum.

The theory is that as the sources of income have become more diverse and change in proportion to one another, community colleges organize themselves on a point on the IIAM Continuum. The main question of the study is, "How have the colleges responded to the change in income streams?" The four research questions are

1. How has organizational structure changed?
2. How have the management activities of administrators changed?
3. How have the management activities of faculty changed?
4. Where do the colleges systems fall on a continuum from a disaggregated system of income acquisition and management to a totally integrated system? Have they moved left or right along the continuum during the bounded instance of the study?

It is hypothesized that an aggregated income acquisition and management system is more desirable than not. Future studies must determine whether aggregated systems result in more income and greater institutional effectiveness than disaggregated systems.

These four questions constitute the study's major issues, or conceptual structure (Stake, 1995). The logic linking the data to the theoretical propositions, and the phenomena to be examined within the bounded instance of the case study are reflected in the research questions (Yin, 1994).

Design of the Comparative Case Study

The case study method is used when the phenomenon and the contextual conditions of the phenomenon are inextricably bound. Or, as Yin (1994) states, "the boundaries between phenomenon and context" are not clear (p. 13). This study is an embedded, multiple-case design (Yin, 1994). An embedded design is used when a case involves more than one unit of analysis. The units of analysis in each case were the advancement subfunctions as they relate to the income acquisition and management systems of the colleges.

A multiple-case design is used to determine replication of phenomena. This study was designed to determine whether the same results are replicated in each case. Figure 3-1 illustrates the multiple-case design.

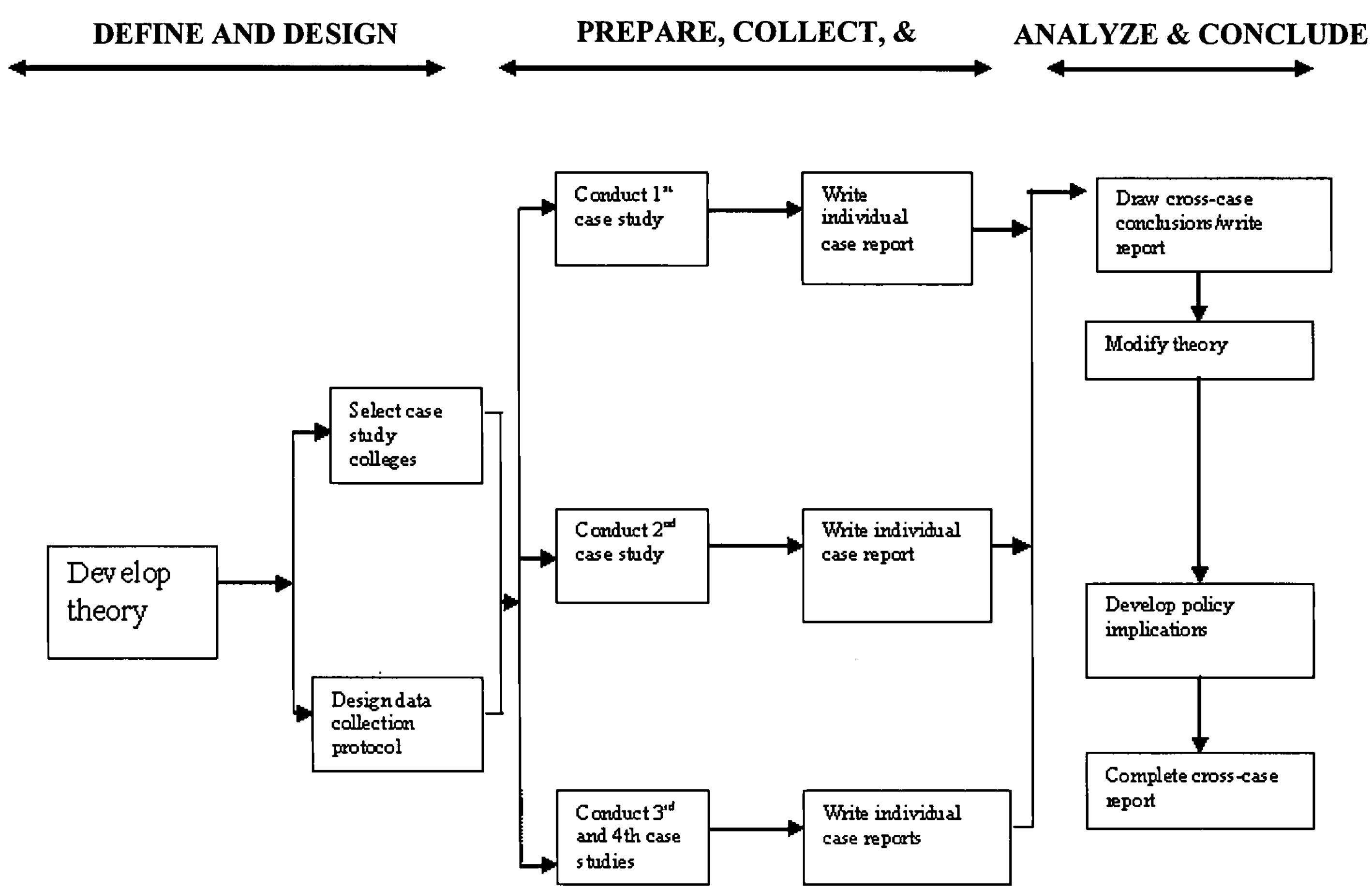


Figure 3-1. Framework for Comparative Case Studies

The study investigated factors cited in the literature as affecting income acquisition and management and components of the advancement function in community colleges. See Chapter 2 for these factors.

Theory development, prior to the conduct of any data collection, is a major distinction between case studies and other qualitative research methods (Lincoln & Guba, 1986, Stake, 1995; Van Maanen, Dabbs, & Faulkner, 1982). To acquire a theoretical framework for designing this study, previous research on community college advancement and organizational management were reviewed to find a framework. This knowledge base is covered in Chapter 2. To summarize Chapter 2, the major theoretical frameworks that provided guidance for this study are descriptions of the effective advancement function and community college foundation (Adams, Keener, & McGee, 1994; Banks & Mabry, 1988; Brittingham & Pezzullo, 1995; Burlingame & Hulse, 1991; Duronio & Loessin, 1991; Gatewood, 1994; Glass & Jackson, 1998a; Jackson, 1997; Jackson & Glass, 2000; Jenkins & Glass, 1999; Keener, 1982, Kelly, 1991; Koelkebeck, 1994; Phillippe & Eblinger, 1998; Robison, 1982; Ryan, 1998b; Ryan & Smith, 1989; Sharon,1982; Williams, 1988; Worth, 1993) and the integration of the advancement function planning objectives with the community college strategic objectives (Baker et al., 1992; Birnbaum, 2001; Cameron & Whetten, 1984; Cameron, 1986; Chaffee, 1989; Cohen et al., 1994; Dolence & Norris, 1995; Glass & Jackson, 1998a; Hecht, et.al., 1999; Jackson & Glass, 2000; Knight Higher Education Collaborative, 2000; Miller & Seagren, 1997; Peterson, et. al, 1997; Pettigrew, 2000; Rowley, Lujan, & Dolence, 1997; Tierney, 1998; Tromble, 1998; Wolverton, 1998). The theoretical frameworks are used as a template with which to compare the empirical results of the case studies. When two or

more cases are shown to support the same theory, a claim of repetition may be made (Yin, 1994).

Case studies rely on analytical generalization in which a particular set of results may be generalized to a broader theory. This pattern matching logic of case studies allows for an organization to be studied from multiple perspectives rather than the influence of a single variable (Eisenhardt, 1991).

Questions were developed to relate management activities and affinity to the theoretical framework. The case studies show how and why each college restructured functions and implemented specific management activities to support particular advancement and income acquisition strategies. The case studies show why the simple addition of the presence of an advancement activity without the coordination of the activity into the total advancement function is not sufficient to move the institution to a more mature stage of the IIAM Continuum.

Research Methods

Selection of the Colleges

The selection plan answered the question, "What group of colleges will help us to understand the problem?" For this criterion a diversity of characteristics was sought. The characteristics give balance, variety, and an opportunity to learn. Each of the four institutions had private sector fund raising initiatives from 1996 through 2000 in response to erosion in state and/or local funding as a percentage of the operating budget. Detailed profiles and the selection characteristics are provided in Chapter 4.

Case studies can give a refined understanding of process and situation through a rich description of the unique and complex experiences of others (Stake, 1995). The

cases were designed to illuminate the strategy and management of the colleges appropriate to their various settings as well as the economic and political situations in the states of Florida, New York, North Carolina, and Texas. Analyzing the various units on a continuum, the IIAM, gave more breadth in the description of maturity and integrations of each college's advancement subfunctions.

Case Study Protocols

In integrating data across the case studies, the study protocol used the same categories across all cases. The data was presented so that patterns can be spotted and differences examined. The protocol used the same categories for all of the cases' document abstracts, field observations, interview field notes and analyses. See Appendix A "Handbook on Protocols" and Appendix D for the juried interview guide. The protocol was designed to describe the checks and balances, decision rules, and other design features.

Collection of Data

Interviews. Administrators were contacted and provided a description of the study. They were asked to participate in an interview and to supply certain documents. The interview guide questions were mailed to each leader before the interview. The interviews were structured to last one hour. When needed, clarification of data was obtained through phone calls conducted within a week of the initial interview. When accuracy was confirmed, the case evidence was deemed suitable for analysis. Detailed notes from the interviews were transcribed.

Instrument and data collection. The juried interview questions (Appendix E) were used for the semi-structured interviews. The interview questions focus on the income

acquisition and management activities of administrators and faculty and the factors which frame the five stages of the IIAM Continuum.

Participant observation. The researcher observed planning meetings at the schools. Observation notes were coded in the same manner as the interview transcripts to discern data to answer the four research questions and the factors in evidence for placement in the appropriate stage on the IIAM Continuum.

Document review. The study protocol was the use of a document abstract form developed for all cases. Planning documents, meeting minutes, reporting documents, performance or assessment reports, organizational charts, job descriptions of administrators, marketing and solicitation materials, budgets, memos, and other communiqués were collected and listed on individual document abstract forms. The data from these documents were coded in the same manner as interview transcripts and observation notes.

Empirical data collection. All of the above methods are empirical in that they make use of data external to the knower. They all use observation, interview, and examination of artifacts to collect data. Documents from the educational environment and conversations with informers are important sources.

Analysis of the Data

The units of data were obtained from the transcripts of the interviews, observation notes, and notes from the document abstract forms. First, data was broken into segments representing single pieces of information. The segments were then grouped into categories. Finally, the categories were analyzed for patterns. A case report was written for each institution. The case reports were compared and cross-case conclusions were

made. Using this process, the theory was used to describe in which of the five stages of the IIAM Continuum the college systems should be placed.

Coding of Data

The interview data, data from observations, and data from document reviews were analyzed using the constant comparison method (Merriam, 1998; Sherman & Webb, 1995). This method is an inductive theory discovery methodology that combines concurrent coding and analysis of data during data gathering. The resulting theory is grounded in the data from which it was derived.

Findings were grouped into the same areas as the factors of the theoretical framework described in Chapter 2. Data were coded in relation to the four research questions and the factors of the IIAM Continuum. System analysis, participant observation, and interviews created thickly descriptive field notes. As themes emerged from the study the theoretical construct for the IIAM continuum was modified as necessary.

Triangulation of Data

The term "triangulation" was coined by Denzin (1970) to describe how qualitative researchers find their position in relation to two other points. By showing at least three sources of evidence for every claim or interpretation and the use of several data collection techniques the researcher can increase the credibility of her work. Focused interview notes, notes on observation, document review notes, notes on coding of data, and peer review can close the triangle between the emic and etic perspectives and the situation at hand. Triangulation is also referred to as the use of multiple data

collection methods, multiple resources, multiple investigators, and/or multiple theoretical perspectives.

The Constant Comparative Method of Analysis

Domain analysis is used in ethnographic research. Domain means literally "what resides here." As qualitative researchers look for patterns, relationships, and themes in their data, they place the data in the appropriate emerging category. An ethnographer calls this category "the domain." The sociologist refers to the idea of domain as "coded data." The philosopher may use the term "classification."

The categories may be borrowed from another's research or discovered by the researcher. In this study, the emerging categories used for coding are the factors in Chapter 2 taken from literature on community college institutional advancement and higher education management.

This method of domain analysis employs an on-going look at how categories are similar or different. Qualitative data is moved to a more abstract interpretation to codes. The codes are compared and then moved to factors. The factors are compared to one another and then moved to constructs until saturation is obtained.

Validity and Reliability Issues

The concepts of validity and reliability in qualitative research used in this case study are based upon the works of Yin (1994), Stake (1995), and Lincoln and Guba (1986) unless otherwise cited. Construct validity is established in the data collection phase of the research and was increased by using multiple sources of evidence, establishing a chain of evidence, and having key informants review draft case study reports. This study used multiple data collection methods, multiple sources, and multiple

theoretical perspectives to increase validity. A conscientious search for unconfirming evidence to produce a rival theory was used in the data collection phase and used in the modification of the theory.

Internal validity is established in the data analysis phase of research. It was increased with the tactics of pattern matching, explanation building, and time-series analysis. Internal validity was increased with triangulation, multiple sources of information, and consistency of results. Internal validity is seen in a deeper and richer understanding of the phenomenon because of study (Lincoln & Guba, 1986).

This study uses triangulation of data in each case and across cases. An external auditor (an outside person to examine the research process and product) probed for similarity, consistency, and convergence of results. Consistency of coding was emphasized in the case study protocols. Participant corroboration of the drafts of the findings and peer review were used to avoid systematic bias in data collection.

Field observation, multiple-day site visits, individual and focus group interviews, and systems analysis were used. The four individual case studies as instances were used to increase credibility and persuasiveness of support for the case study conclusions.

External validity is established in the research design phase. It was increased with replication logic in multiple-case studies. Multiple case designs may be more robust as the evidence from multiple cases is often considered more compelling (Yin, 1994). Yin argues that although not generalizable to populations, case studies, like experiments, are generalizable to theoretical propositions. In case studies, external validity is the extent to which the study's findings may be applicable to similar contexts. Mook (1983) defends purposive sampling in case studies with similar reasoning. Because case studies start with the theoretical proposition, in this case "community college administrators respond

to public policy which decreases the relative percentage of government funding for college operating budgets by increasing advancement activities," predictions can be made, for example, "therefore the administrators we observe ought to do that." And the prediction is confirmed or disconfirmed (Mook, 1983).

This study used purposive sampling to increase external validity. The data collection and analysis were of colleges operating in different regions, settings, and at different levels of integration of their advancement activities. External validity is increased if the current study can be tied to other studies done on the advancement activities of the four schools.

Reliability is established in the data collection phase of the research. The tactics used to establish reliability were use of case study protocol and development of a case study database. Consistency of results and dependability is shown by the production of similar findings with similar cases. This study used the case study protocol in Appendix C and coding forms to increase reliability.

Summary

Case study is contemporary and often idiosyncratic. Case studies are bounded by a small group of individuals and an instance. The bounded instance is the focus of the study. A case study leads to anticipation of a behavior because a specific situation is densely described. For example, in this study there was evidence of agreement on the change in income streams and that a new way of doing business is essential and desirable. The case studies describe the decision-making processes about how to change management activities to attain more income, thus certain behaviors were anticipated. As the political and funding environment changes community college administrators may

anticipate certain behaviors. Through a full and thorough knowledge of the particular a universal may be perceived.

Chapter 3 defined the research design and methods of the study. Methods to improve reliability and validity were addressed. Chapter 4 provides the findings of the four individual case studies. Chapter 5 gives cross-case conclusions and recommendations for research and practice.

CHAPTER 4
FINDINGS

The problem that prompted this study was the need for a description of how organizational structure, administrative management, and faculty management have changed in the income acquisition and management systems of community colleges as a response to the change in proportional funding of college operations by the state government. The purpose of the study was to identify the qualitative elements of the change process and their perceived impact upon the organizational structure and management activities at four community colleges. The purpose of this chapter is the presentation and analysis of the data collected in the four case studies.

This chapter describes what was discovered. The categories, themes, key events and incidents are tied to the theoretical framework as positive or negative cases. The empirical results are tied to the theoretical foundation of the IIAM Continuum Model.

Selection of the Colleges

The selection plan answered the question, "What group of colleges will help us to understand the problem?" For this criterion a diversity of characteristics was sought. The characteristics chosen were (a) evidence of private sector fundraising initiatives from fy1996 to fy2000 in response to an erosion in state funding as a percentage of the operating budget, (b) a stable presidency over the 5-year period, (c) an institutional structure which includes the functions listed in Appendix B, (d) an urban environment of a district campus or single institution with one or more campuses, (e) an enrollment range of 6,000 to 20,000 for fy2000, (f) an operations budget ranging from $26 million to

$58 million for fy2000, (g) the presence of academic literature on community college advancement and its context in the college's state, and (h) active membership in the Council for Resource Development (CRD). These characteristics give balance, variety and an opportunity to learn. The reader may find a refinement of understanding process and situation in the unique and complex experiences of others (Stake, 1995). The cases are designed to illuminate the strategy and management of the colleges appropriate to their various settings as well as the economic situations and public policy in the states of Florida, New York, North Carolina, and Texas. Analyzing the various units on a continuum, the IIAM, gives more breadth of maturity and competency of the described advancement function. The sampling process was chosen to maximize comparability of incidents and management activities within the income acquisition and management system.

Research Methodology for Individual Cases

The study began in the summer of 2001. College presidents who agreed to have their colleges take part in the study were sent a description of the study, sample questions of the juried interview questions, and consent forms for each of the participating administrators. During three-day visits at each of the four sites, interviews, observation, and document review were conducted using case study protocols. Domain analysis was conducted on the data. The data was coded and triangulated. The cases were written and the drafts of the cases were presented for verification by the administrators.

Presentation and Analysis of Data for Each Case

Each case begins with a one page profile of the college during the period studied. State and local context is given along with a description of the changes in income sources

for fiscal year 1996 through 2000. The activities, organizational structure, and responsibilities of the advancement function are described.

Changes in management activities for the advancement function within the income acquisition and management system are chronicled along with the participants' understandings and perceptions of the changes and their decision-making during the change process. The changes are related to the IIAM Continuum Model and the college environments.

The cases include analysis of data used to answer the research questions

1. How has organizational structure changed?
2. How have the management activities of administrators changed?
3. How have the management activities of faculty changed?
4. Where do the colleges systems fall on a continuum from a disaggregated system of income acquisition and management to a totally integrated system? Have they moved left or right along the continuum during the bounded instance of the study?

Evidence of transformed administrative structures is given. Task and role changes for management of activities in the income acquisition and management system are described. The colleges are placed at a stage on the IIAM Continuum.

College A

Profile of College A

College A is a 2-year unit of the State University of New York (SUNY) system located in the south central area of the state about 200 miles from New York City. It is one of 30 community colleges in the SUNY system. A mid-size urban college with one campus, in 2000-2001 there were 5,651 students and 4183 FTE enrolled in credit

courses. Of the students, 75% came from the local county. Over the past 8 years, the college has lost about 800 FTE due to corporate downsizing and out-migration. One FTE equals 30 annualized credit hours.

With a $31 million operating budget in 1999-2000, the college has seen state funding erode from 39% of its budget in fy1991 to 30% in fy2000. For 1997 the State of New York funding per capita for community colleges was lower than the national average of $49 at $37.96. For 1998-99 the average expenditure per student FTE in New York's 47 SUNY and CUNY community colleges was $9,383 and the amount of state support for FTE was $2,050. New York State policy sets tuition at community colleges at no more than 30% to 35% of the cost of instruction. College A also receives local county support for its operating budget.

College A's foundation, begun in 1965, raised $2 million in 1999-2000 with a foundation operating budget of $284,000. Total foundation assets are $10 million.

Governance of the SUNY community colleges is complex. Both 2- and 4-year institutions outside of New York City make up the State University of New York (SUNY). A board of trustees governs the SUNY system. Day-to-day operations of SUNY are overseen by a System Administration Council, including the chancellor and vice chancellors, one of which is the community college vice chancellor. New York has two or more governing boards for its higher education institutions, along with a coordinating board or governing board for community or technical colleges. New York also retains its own local governing boards. Therefore, the governance is divided in two heterogeneous systems each with its own governing board. Thus the same board that governs one of the nation's largest higher education systems also serves as the coordinating board for a very large system of locally governed community colleges.

College A has its own 10-member board of trustees. Trustees appoint college presidents, recommend the approval of the capital and operating budgets, and set policy for academic affairs, student services, and administration. In the SUNY system an appointed local board governs each community college, and the board of trustees of SUNY serves as a coordinating board for all SUNY community colleges. With these three layers of governance college administrators must determine who has jurisdiction, "we often have to take time to figure out who to start with to begin a process."

A 1999 study concluded that SUNY colleges are operating under an outdated and unpredictable funding policy that provides limited support for fiscal strategy change and is not connected to the developing mission of effective community colleges of providing affordable access through low tuition and fees.

> Despite repeated efforts to amend the Educational Law to clarify the roles and responsibilities of each of the participants, ambiguities and conflicts remain. Unresolved problems of governance and funding continue to sap the energy and undermine the capacity of community college—individually and as a system—to serve their students, their regions, and the State of New York. (National Center for Higher Education Management Systems, 1999, p. iii).

Change in Income Sources 1995-1996 to 1999-2000

This section provides an overview of state funding systems and historical context for the case beginning with a description of state appropriations. There is a single consolidated appropriation for all the SUNY community colleges. From this appropriation, the State of New York uses a funding formula to determine individual appropriations to the community colleges within the SUNY system. The formula is legislated and can be modified only through regular and/or budget legislation. The state funding formula is based upon the prior 3 years' enrollments. It is a weighted formula funding the best of two FTE numbers: either last year's FTE or a weighted average FTE

that is comprised of 50% of the last year's FTE, 30% of the FTE from 2 years prior, and 20% of the FTE from 3 years prior. "The idea is that in times of increasing enrollments, the college benefits immediately by being funded, but in times of declining enrollments the loss of revenue is cushioned by the use of the weighting formula."

Included in the FTE calculations for community colleges are high school students taking community college courses for credit (early admissions). Students may take up to 30 credit hours of remedial work but they must have some college level coursework. The state budget includes a separate line item appropriation for community college specialized training programs for businesses and workforce development. Competitive grants from other state agencies for workforce development programs are available.

The funding formula does not include performance indicators nor performance based funding. The requirements for registration of postsecondary curricula under the Regent's mandate (found in Section 52.1, Regulations of the Commissioner of Education, Subchapter A, Part 51) focus strongly on inputs and resources, not on performance and productivity. A system of performance indicators and some degree of performance-based funding are under development.

Early admissions students are charged tuition that may be at a reduced rate for certain circumstances (offsite, off peak hours, etc.). The tuition rate charged for distance education is the same as the rate charged for on-campus courses for in-state students. For international students the tuition is doubled.

In the late 1990s, upstate New York began to climb out of the recession of the late 1980s and early 1990s. Its recovery was slow compared to many other states. As the third largest state in the nation with a population of almost 19 million, New York's income growth is dependent upon the finance, insurance, and real estate industries. The largest

source of revenue for New York is the personal income tax, followed by user taxes and income taxes. State revenues remained relatively flat during the first half of the 1990s at a time when most other states were beginning to rise. Governor Pataki's tax cuts took effect in 1995 resulting in a meager state revenue increase of 3% from 1993 to 1996.

Competition for state funds intensified in the current decade due to the recession, the accompanying drop in income tax and sales tax revenue, and tax cuts. The declining state support for higher education was very pronounced in terms of budget share. From 1990 to 1995 there was a huge increase in the share of state appropriations for Medicaid. The general funds of K-12 Education and Higher Education which respectively had a 23% and 9.3% share of the 1990 state appropriations dropped to 19.3 and 7.3 in 1995 whereas Medicaid grew from 18% to 29.4% of the appropriations in the same period. Higher education spending in New York State fell from 9.3% of total state spending in 1990 to 7.3% in 1995 (Callan & Finney, 1997).

Unlike states with merit systems, New York has structured its state financial aid program—Tuition Assistance Program (TAP)—as an entitlement. As tuition rates increased, maximum TAP awards rose steadily at SUNY. Incrementally, New York has shifted its funding from direct support of institutions to direct support of students. Until the mid-1990s, the maximum TAP award covered 100% of tuition at the SUNY community colleges. In fiscal year 1996 this was dropped to 90%. Student loan value increased 50% in New York State from 1990-91 to 1994-95.

New York's community colleges have local sponsors (one or more counties) that have financial responsibility for the colleges. In the case of College A, the county legislature determines the sponsor share for the college. The community college local

share is included in the county budget, the same as other county agencies. The local sponsor's share includes not only the sponsor contribution from local tax revenues but also revenue from charge-backs from New York State residents from nonsponsor counties for their residents, out-of-state tuition above resident rates, and the use of college fund balances. College A has a high rate of charge-backs compared to other New York community colleges. Local sponsors can count funds that derive from student tuition, College A's foundation, and other nonlocal sources as a local contribution.

New York State requires matching funds for capital outlay. The community colleges may not use general appropriations for capital construction. The average in New York State is 50% local taxes/bonds and 50% state taxes/bonds.

To reiterate, SUNY community colleges are funded by state, local government sponsors, and tuition and fees. State aid cannot exceed 40% of operating income and tuition revenue is capped at one-third of the operating income. Four public policy changes and an outmigration event caused by local army base closings and corporate downsizing led College A to more aggressive advancement initiatives in the period under study. These were (a) a relatively flat funding of SUNY community colleges during the first half of the 1990s, (b) a loss in three types of categorical funding for technical programs effective 1994-95, (c) a 10% jump in tuition for SUNY community colleges from fiscal year 1995 to 1996 culminating in a 58% increase in tuition from 1991 to 1996, (d) a decrease in the coverage of the TAP award, and (e) a 20% enrollment drop from 1993 to 1998.

The advancement initiatives described in this section were responses to changes in the income streams. The president and administrators at College A made the decision

to retain staff while trying to ameliorate blows to student access and choice in the midst of declining state support and increasing tuition rates. In the challenge of this period maintenance of buildings and grounds were put on hold. Table 4-1, "Sources of Revenue for Operations—College A," shows the percentages of operating funds for the revenue categories in the period addressed.

For Table 4-1, note that TAP and Pell grants are digested into a percentage of the revenue category, Tuition and Student Fees. The Technology Fee is also included in this revenue category. The table includes operating funds only, no building construction funds. The average breakdown for general operating funds for New York community colleges in 1998-99 was Federal—5.70%, State—29.00%, Local—31.30%, and Tuition and Fees—34.00 (Education Commission of the States, 2000).

Despite the bleak outlook, several factors that positively impact income acquisition were going quite well for College A during the period of the study. The public image of the college was, and continues to be, prestigious. The SUNY system was shifting its focus from governing colleges to serving students and the system allowed for its executive council to provide funding for priority items to colleges outside of the formal budget process. College A implemented a technology fee in 1997. This fee took some pressure off the squeeze to update technology. College A won several workforce development grants and began to offer corporate training as a profit center. A new cost analysis system was instituted to helping administrators to plan and have more warning time to adjust to unanticipated fluctuations in revenue. College A came out of the 1990s with a more cost-effective management emphasis and a ratio of 65:35 full-time to part-time faculty, better than the statewide average.

Table 4-1. Sources of Revenue for Operations - College A

SOURCE	1995-96	%	1996-97	%	1997-98	%	1998-99	%	1999-00	
Tuition & Fees	$10,364,993	36.4%	10,486,241	38.7%	11,367,254	38.6%	12,050,032	39.9%	12,714,821	41.0%
NYS SUS	8,392,910	29.5%	8,180,905	30.2%	7,974,320	27.1%	8,322,223	27.6%	8,766,979	28.2%
County (sponsor)	4,690,393		4,690,393		4,850,393		5,100,393		5,250,853	
County (other New York State counties via an enrollment based "chargeback")	1,398,438		1,516,343		1,740,093		1,725,453		1,870,068	
Total county	6,088,831	21.4%	6,206,736	22.9%	6,590,486	22.4%	6,825,846	22.6%	7,120,921	22.9%
Federal Grants	1,266,545	4.5%	921,328	3.4%	1,127,464	3.8%	1,056,064	3.5%	1,040,843	3.4%
State Grants	498,351	1.8%	317,781	1.2%	376,964	1.3%	418,630	1.4%	213,475	0.7%
Private Gifts	207,095	0.7%	310,098	1.1%	902,424	3.1%	336,090	1.1%	286,549	0.9%
Investment Income	331,223	1.2%	318,824	1.2%	335,548	1.1%	286,626	1.0%	373,455	1.2%
Contracts	229,844	0.8%	248,001	0.9%	134,967	0.5%	156,680	0.5%	114,167	0.4%
Sales & Services	76,127	0.3%	77,288	0.3%	75,475	0.3%	67,383	0.2%	69,783	0.2%
Other Revenue	377,093	1.3%	528,137	1.9%	459,874	1.6%	556,878	1.8%	553,948	1.8%
Fund balance	621,729	2.2%	-464,240	-1.7%	82,682	0.3%	90,150	0.3%	-216,018	-0.7%
TOTAL	28,454,741	100.0%	27,131,099	100.0%	29,427,458	100.0%	30,166,601	100.0%	31,038,923	100.0%

Source: SUNY annual financial report College A final report of revenues FBM 095-C1, prepared by Budget Officer, College A

Institutional Advancement and its Key Activities

College A has all of the institutional advancement subfunctions: marketing, institutional research, media relations, community affairs, corporate relations, government relations, resource development, foundation, publications, and alumni affairs. Marketing is decentralized. The profit center of continuing education (workforce development and contract training), and the foundation are responsible for marketing their respective programs. The departments and the foundation take the lead of the vice-president for student and community affairs for marketing messages. There are no written marketing messages or targeted audiences. Marketing activities are viewed as a low priority because administrators do not see their long-term effect.

The vice president for student and community affairs writes all press releases and covers media relations activities. Publications, advertising, and community affairs are also under the vice president for student and community affairs. College A publishes an annual report as a financial statement. This is not a marketing piece.

Government relations for local relationship building is largely the responsibility of the president, vice president for administration and financial affairs, and the vice president for student and community affairs. SUNY administrators take responsibility for state lobbying efforts. The corporate relations activities are under the vice president for student and community affairs because continuing education and corporate training are placed in this division. Institutional research is under the vice president for administration financial affairs.

Resource development for grants management is divided between student and community affairs and the division for academic affairs. The vice president for academic affairs oversees the program development grants; for example, National Science

Foundation, and the vice president for student and community affairs monitors grants for aid for special student audiences and workforce development grants. Grant proposals to private agencies are managed by College A's foundation. All resource development grants, whether from public or private sources, require presidential approval and must be tied to an institutional priority.

The foundation raises private dollars for scholarships, equipment, professional development, the president's discretionary fund, and capital equipment and facilities. Foundation staff provide the marketing activities, media relations, alumni relations, prospect research activities and website production for the foundation. Fundraising activities and special events include an annual campaign, a planned giving program, and relationship building with corporations and private foundations. The foundation director is not a direct report to the president but is a welcome participant on the institutional planning committee. The responsibility for alumni affairs is shared with the vice-president for student and community affairs. The director of alumni affairs is a staff report to the president, and a direct report to the vice-president of student and community affairs with some delegated reporting to the foundation executive.

Changes in Organizational Structure of the College and Foundation 1996-2000

The erosion in state funding described above, the loss of categorical funding, and the loss of 20% of FTE set the stage for the period under study. Although in 1993 the organizational structure was changed to add a vice president of advancement with the intention of bringing the foundation executive and the alumni affairs function under this vice president, by 1995 negotiations with the foundation board had not produced this inclusion. The vice president of advancement became the vice president for student and

community affairs upon the retirement of the vice president for student services. During this same year the college president was made a permanent member of the executive committee of the foundation board of directors.

Thus the fourth vice presidency was cut to save administrative dollars and the direct reporting of 8 of the 10 advancement subfunctions to one vice president did not occur (resource development under the name of sponsored programs reported to the vice president for academic affairs and institutional research was under the vice president for administrative and financial affairs). Student and community affairs, the most project-oriented division, uses a more informal structure than the other divisions.

In 1999 the part-time alumni affairs/annual campaign coordinator became a direct staff report to the president with a report to the vice president of student and community affairs with the new title, Director of Alumni Affairs. Responsibility for writing and publishing the alumni newsletter remained in the student and community affairs division through 2000 while the foundation maintained the alumni database.

The position of director of institutional research, reporting to the vice president for administrative and financial affairs, was vacant from 1996 to 1998. Two searches were conducted without a successful outside hire. The position was filled with an internal hire.

The foundation executive officer reports to the foundation board of directors and is not hired by the president. Despite the lack of formal lines of authority the foundation executive seeks approval and support from the president to ensure that every fundraising initiative is attached to an institutional priority. In 2000 the foundation executive officer became part of College A's institutional planning committee. College A is the only

community college in the state that does not use state funding to pay for foundation staff salaries and foundation expenses.

Changes in Management Activities of Administrators and Faculty Members

During the period of the study College A's administrators faced very little leverage in negotiating for state and county funding. Dealing with a highly politicized environment where seven chancellors of SUNY with their respective priorities have served in the past thirteen years, the unpredictability of the state budget timeframes also made it hard to plan budgets. The State of New York operates on a fiscal year of April 1 through March 31. College A must have its budgets completed by June to ensure the faculty and other resources to begin the fall academic year. College A begins forecasting FTE funding for the fall semester. Tuition and sponsor funding are calculated in January. The sponsor increase must be requested by May 15. The college did not get the state budget information on base aid and TAP until June or July for some of the years of the study and one year, September. Added to this scenario are uncertainties in sponsor contributions because of disputes over charge-back payments to counties.

In order to maintain a greater degree of stability College A administrators began to hold 10% of supply and equipment budget to the last quarter of the fiscal year when a reevaluation of the budget could result in a shifting of departmental funds to meet institutional priorities. Government relations changed with the county sponsor when a new interpretation in Plan C (the legislation that specifies the relationships between community colleges and local sponsors) was negotiated. Fiscal responsibility was delegated to the community college board of trustees within the terms of the approved budget. The sponsors relinquished authority of line item, preapproval audit of

expenditures. Although a new county executive may interpret Plan C differently than a predecessor, the president and vice presidents have been able to negotiate with the sponsor once per year to maintain this interpretation.

During the period of the study, the state FTE funding policy provides incentives for College A to focus on relatively lower cost liberal arts and science programs and low-cost, high enrollment professional programs to generate FTE numbers. There is little incentive for innovative technology programs, economic development initiatives with no immediate payoff, or entering into partnerships that may serve students better but not generate FTE. The local sponsors do not fund colleges on the basis of FTE or level of service. For the 5 years studied, the county sponsor has tolerated funding increases for inflation costs for goods and services only.

Technical programs have been hit hard at College A. The categorical funding dropped in fiscal year 1994-95 included $82 per FTE for business courses, $195 per FTE for technical programs, and $212 aid for disadvantaged students allocated on a headcount basis. College A's state funding is formulated on a credit basis. Even though the FTE funding is the same for liberal arts credit programs and applied science certification programs the certification programs are underfunded because the state formula does not cover the costs of clinical and lab science components. In discussing the erosion of state funding for technical programs the vice president for academic affairs lamented, "SUNY's message is to jettison applied science or get money from the county or students to support it." Foundation and sponsor dollars have been used to cover some lab fees for the more expensive technology programs. Delaying the maintenance and replacement of equipment during 1993 and 1997 along with a growing reliance on new technology to

deliver education and training led to the institution of a technology fee in 1997. By 1999-2000 the technology fee added $300,000 in annual revenue to the operating budget.

As a result of the squeeze for dollars, the college has made a new prioritization process for technological purchase decisions. Deans, vice presidents, the president and his executive council are involved in technological purchase decisions. "The dollars are so scarce it [decisions about technological purchases] has risen to the level of executive decision."

In considering program mix as an income acquisition and management strategy, the vice president for academic affairs said that this strategy cannot be pursued without an increase in marketing data and dollars. "We tend to see enrollment drops as a change in community interest rather than attempting to drive the interest in programs. We react to enrollment shifts through the use of our advisory committees to spark interest and determine direction." In his role as chief integrator and planner, the president has communicated that strategies to increase market share will require greater marketing competencies. Other administrators echo this thought. They described the need for marketing data and external scanning to complete a SWOT analysis. As of 2000 no money was budgeted for these activities. There is no marketing plan. Enrollment is used as an indicator of the market demand. "The vice president for student and community affairs directs each marketing activity under a generally agreed-upon strategy."

In the attempt to generate revenue by generating FTE, College A has been successful in enrolling international students and distance education students. In 1999-2000 international students comprised 100 FTEs and the college enrollment numbers were in the top quartile in the state for community colleges offering distance learning. Dual enrollment of high school students increased this same year generating tuition and

FTEs. During the period of the study College A instituted a retention tracking system—CONNIX to monitor student persistence.

College A began to use private dollars to start professional training programs during the period of the study. Its nursing program expansion was the most extensive example with a grant from a hospital foundation to College A's foundation. The vice president for academic affairs has taken on a greater role in proposal writing for program startups and expansions. Planning with the foundation for the capital campaign for a health science building and proposals for equipment for engineering technology were new administrative tasks during the latter half of the 1990s. From 1996 to 2000 the academic chief officer doubled the time spent on grant proposal writing and grants management to six weeks of work time per year. "It takes more time to use resources more strategically and there is more reporting and accountability for evaluation of grants projects."

In 1995 the vice president for academic affairs spent most of his time on curriculum development and review. By 2000 he spent most of his time on reviewing cost structures, process improvement, efficiency, and faculty load. He supervised the process for 20 faculty members (out of 160 full-time) who applied for grants during the period of the study. By writing grants objectives into the strategic plan, both the foundation executive and the sponsored grants director have assisted faculty in becoming more aware of the availability of private and public dollars. "With the players [grant proposal writers] scattered across divisions and departments we attempt to have cohesiveness through committee work." Administrators have proposed a "Teaching and Learning Center" division as a faculty development function that could orient faculty to, and develop skills in, advancement activities.

There are three private, and two public colleges and universities within a 50-mile radius of College A. The abundance of institutions of higher education is both an advantage and disadvantage when looking to increase enrollment, roll out new programs, and raise private dollars. College A's president decided upon a growth strategy for online courses and technology upgrades in order to compete with other institutions. Implementation of competitive strategies is hampered by the difficulty of compliance in registering new programs and the lengthy process. Under New York State regulations, new registrations for curricula are required for changes in title, focus, design, requirements for completion, or mode of delivery. College A's president commented upon the challenges of beating the competition in the online and corporate training business, "The registration process is too long for us to be a highly responsive community college." Given these constraints, College A has done well implementing a recruitment strategy for high school students. Over the last 10 years, College A has captured 21% to 39% of the yield of high school graduates in their district.

The director of continuing education managed $3 million in state grants for workforce development during the period of the study. Sources of corporate training grants are federal, within the SUNY system, and through member item funding through a local senator. College A received the funding for its EXCEL center from an annual member item. A consortia grant with the local university brought $750,000 and federal funding through a state block grant brought $450,000. The director of continuing education works with the director of sponsored programs to stay in compliance with the strategic goals of the college. Two new tactics were used to gain more grant dollars. The College partnered with nonprofit organizations for sharing costs and profits of hiring speakers for professional association events. Joint ventures with online training

companies were sought and negotiated for the College to serve as a broker for customized training.

The director for continuing education has tried to gain grants for training for companies to administer their own training as a service but this created frustration. “The companies want grants but don’t want to write the proposals and [don’t want to] stick to the requirements of the grant.” For example, a grant may require class lists by date, social security number, age, and ethnic background. In managing these types of grants the college had no control over these administrative tasks.

Corporate training acquires more money than it costs. Net income from corporate training under the directorate of community education was $221,093 over the period of the study. The marketing activities of research to determine what price the market would bear, advertising design, and relationship building with corporate training directors became the regular responsibilities of this unit. During the period of the study the continuing education director began to collect benchmarking data on community colleges with similar course offerings. “We could use a strong marketing plan for the department. We use a project management model and rely heavily on the publications department for art, catalogs, and brochures. It helps that we are all under the same division vice president. At staff meetings have representation from every department.” The continuing education department began the practice of briefing the foundation executive on corporate and business and industry news to enhance her relationship building with corporate CEOs.

To foster greater communication between those prospecting and writing public and private grant proposals and to give attention to the thought process of how the grants may impact other departments and college priorities, a standardized form was developed

by the budget officer. The use of this standardized form has created a greater understanding of writing case statements with objectives that are tied to institutional priorities. One administrator defined the resource development function as "not on the organizational chart. It's like tentacles that no one can map on the chart. Personal relationships make things happen rather than planned [efforts]." The foundation director is expected to form the necessary relationships with administrators in order to support institutional objectives.

The purpose of College A's foundation has shifted since its initial focus on indigent students to supporting students through the maintenance of quality programs, funding specific projects, and capital. In 1995-96 College A's foundation raised $1.2 in private dollars for a health science center to add to $8.5 million in building funds from the state. A local foundation grant and gifts from individuals made up this first capital campaign for the college. To assist in a greater understanding of college priorities among foundation board members, College A board of trustees are encouraged to join the foundation board when they rotate off the College board. From 1996 to 2000 the foundation has assumed increasing responsibility for administrative costs, donor research costs, and new hires.

Foundation disbursements to the operating budget were $207,095 for 1995-96, $310,098 for 1996-97, $902,424 for 1997-98, $336,090 for 1998-99, and $286,549 for 1999-00. Most of the funds were allocated to enhance professional/staff/faculty development opportunities, to increase the ratio of full-time to part-time faculty, and for scholarships, equipment, programs, and capital projects. The spike in funding from the foundation to the operating budget occurred during the capital campaign for the health sciences building. Although New York State requires a 50% match from the local

sponsor for capital outlay, this match did not take place for the new building. College A's foundation raised $1.2 million toward the sponsor's match, plus $1 million for equipment for the building.

Student financial assistance has always been the priority of the foundation but pressure to find more dollars for scholarships grew as College A's students faced tuition hikes of the 1990s and a decrease in the coverage of the TAP award. Student need for financial aid increased from 48 percent of the total student population in 1994-94 to 85 percent in 1999-2000. The pressure from SUNY to increase tuition continued throughout the period of the study. College A did not reach the tuition cap of one-third of the operating income.

The local county sponsor can claim foundation support to the college's operating budget as part of its contribution. Restricted private dollars and grants from the foundation are revenues offset to expenses in the line items of the individual departments. This support from the foundation is usually for scholarships, but technological equipment purchases, program and capital support, and faculty development dollars are increasing. In deciding income acquisition strategy for the foundation College A is caught between the perceptions of the county sponsor and individual donors. "If the county thinks you can get private dollars, then they will stiff you. The more successful we are [in fundraising] the less we will get from the county. The donors know it and want to see a positive gain." The foundation executive pitches ideas to the president to get around this dilemma. One solution had been funding endowed chairs.

The leadership of the income acquisition and management system is a formal link based upon tradition and the chemistry that exists between the president, executive

director of the foundation, the vice president for administration and finance, and the vice president for student and community affairs. In 2000 the foundation executive officer became part of College A's institutional planning committee. This access helped the foundation executive to target her work on external relationships and receive internal news and information, especially from the academic units in a more timely fashion. Armed with more specific faculty and program needs, the foundation executive has focused on educating faculty about using foundation funds for the institutional priorities. "I encourage them to focus on 'the big stuff' in regard to professional development assistance or program grants. We don't want to tell people that we did the little things… put it [the foundation effort] where it counts."

In her reporting relationship as staff to the president, the foundation director attempts to support the role of the president as the chief fundraiser. In day-to-day operations during the period of the study the foundation director "sets up the deals and the president closes the sale."

<u>IIAM Continuum</u>

College A has all of the key activities of advancement and many of the elements of strategic management. During the period under study College A approached institutional planning as a consultative process using implicit strategy rather than a formal strategic planning process. Strategic planning is easier to do in times of relative stability than in times of crisis. During a crisis, strategic planning loads the organization with more work when it is highly stressed. This College was coming out of crisis during the period of the study. The administrators described a general attitude of cynicism regarding strategic planning as too elaborate a process. The president prefers "organic

planning—something akin to a guided missile system that gives regular feedback used to re-align targets" rather than written plans.

There was a general consensus among the advancement units and other academic units on the problems faced by the college although they had not developed a formal strategic plan. At the close of the period of study College A had reached a more stable mode and its institutional planning committee was searching for a strategic planning process appropriate for its culture, consensual environment, and complex state governance system. There is a need for a common lexicon for the institutional planning committee regarding management and planning terms, goals, objectives, and strategic management. Difficulty distinguishing between strategic and operational objectives was observed at the 2001 annual planning retreat.

In 1999, the foundation funded consulting fees for Michael Dolence, an expert on higher education strategic planning, to come to campus to discuss how to get started. The foundation executive had a role in the attempt to gain clarity in defining College A's strategic goals. The push for a strategic planning system is shared with the institutional research director.

The first annual planning retreat was held in 2000 with a goal of linking the planning process to institutional assessment and resource allocation. By the 2002 planning retreat the institutional planning committee was beginning to discuss a new system for choosing institutional priorities and implementing objectives. The dialogue continues on how to align organizational structure and assignment of responsibility, appropriate allocation of resources, and institutional effectiveness monitoring to this new planning system.

College A began at Stage III of the IIAM Continuum Model in fiscal year 1995-1996. College A experienced greater integration of its income acquisition and management system. Organizational effectiveness was enhanced by this greater integration. There was evidence of greater support of the advancement function by the president, especially fundraising. College A did not demonstrate a strategic management system as illustrated in Figure 2-1 by fiscal year 1999-2000, thus did not move to Stage IV.

Conclusion

In the case analysis of College A eight themes emerged from the 28 categories of the coded data. They are

1. Decentralization of structure with use of project teams.
2. Foundation planning integrated with institutional planning.
3. More resources committed to advancement.
4. Efforts at transparency of management.
5. Linking planning and budgeting.
6. Shortened strategic cycles for income acquisition and management.
7. Academic administrators and faculty expanded development responsibility.
8. Greater information sharing.

College A's assumption for income acquisition and management strategy is tied to these themes. The financial stability of College A depended upon striking a balance between funding for fixed costs (i.e., buildings, equipment, and personnel) and funding for more transitory programming that serves a need and then disappears, requiring resources for development of new short-term programming.

College A is building capacity to acquire more varied revenue streams and to continue to integrate its income acquisition and management system. As FTE formula funding, categorical funding, and TAP funding eroded the revenue from the county, tuition and fees, public grants, private grants and private gifts increased.

Like the ship that has weathered the storm, College A has withstood the hard years of 1992 to 1998. In recognition of the need to take the ship to the harbor and mend the sails, the administrators have focused on planning systems and the income acquisition and management system. It is a handsome and inherently seaworthy ship.

College B

Profile of College B

College B is located on the east coast of Florida. Serving four counties, the college has five campuses with about 40,000 students and 9,320 FTE in 1999-2000. One FTE equals 30 annualized credit hours. The college's district is experiencing high population growth. Population projections for the four counties anticipate growth from 448,190 in 1998 to 497,091 in 2003, and 543,786 in 2006.

College B had a $58 million operating budget in 1999-2000 and construction funds of $32 million. The College received 56.35% of operating budget from state allocations in fiscal year 1996 and 58.38% in fiscal year 2000. In the State of Florida community colleges receive no local per capita appropriations. The state funding per capita for community colleges was slightly lower than the national average of $49 at $48.47 in 1998-1999. For 1998-1999 the average expenditure per student per FTE in Florida was $ 4,810 and the amount of state support per FTE was $3,351. Florida policy sets tuition for community colleges at no more than 25-30% of the cost of instruction.

The foundation serving College B, begun in 1965, raised $2 million in 1999-2000 with a foundation operating budget of $147,000. Total foundation assets were $31.7 million for 1999-2000.

The per capita costs for Florida community college students historically have been well below the cost of the public universities in Florida, making a case for the cost-effectiveness of the 28 community colleges. Although in constant dollars the Florida community college system's total revenues and spending have grown over the period of the study the system is receiving a smaller percentage of the state's general revenue higher education dollars (Office of Program Policy Analysis and Government Accountability [OPPAGA], 1997).

As part of the change in the governing system for higher education in 2001, Florida dismissed its coordinating board for community colleges. The Florida Board of Education, an overall board for K-20 appointed by Governor Bush, was instituted to establish educational goals, implement policy, and recommend the education budget. A commissioner of education, also appointed by the governor, oversees the chancellor of community colleges, the chancellor of colleges and universities, the chancellor of public schools, and the executive director of the division of independent education (private schools and universities). The chancellors are appointed by the Florida Board of Education. Higher education institutions retained local boards of trustees. Community college literature often cites Florida as one of the states most subject to legislative micromanagement (Richardson & de los Santos, 2001).

Florida requires community colleges to report on specific performance indicators. These are (a) the totals of Associate in Arts degrees awarded, (b) the total of Associate in Science degrees awarded, (c) the total Postsecondary vocational certificates (PSV) completed (1/2 counted), (d) the total Postsecondary adult vocational certificates (PSAV) completed (1/2 counted), (e) number of graduates with targeted characteristics (remediation, economically disadvantaged, disabled, English as a Second

Language//ENS, and African American Males) and (f) partial completers who were placed in a job or transferred to the state university system. The community colleges can draw upon "new money" as a source for performance based funding.

In 1996 the Florida legislature began performance-based budgeting for community colleges with a $12 million allocation for workforce development. The new funding was provided to the community college system based upon performance at each institution. The new funding represented 2% to 3% of base funding. By the 1999 legislative session $23 million was allocated for distribution to the colleges based upon the college's percentage of the system total of increased number of students in the performance indicator categories. The colleges receive 85% of prior year funding allocation and 15% of prior year performance-completions/placements per the measures described above.

The general revenue for Florida community colleges is an FTE base plus system for the A.A. degree programs. Florida funds noncredit certificate programs through each college's base operating dollars for workforce development programs. Dual enrollment courses do not generate support through FTE and are not funded as part of college appropriation. Adult basic education is funded through the Workforce Development Program at less than 1.0 FTE. The tuition rate charged for distance education is the same as the rate charged for on-campus courses for in-state students.

The Florida Resident Access Grant (FRAG) gives tuition assistance to almost any full-time undergraduate student registered at an accredited independent, nonprofit college or university. A tuition voucher award, FRAG is not need nor merit based. Florida legislature limited the state-funded credit hours to 60 for an associate degree.

Change in Income Sources 1995-1996 to 1999-2000

In 1995-1996 as the Florida economy was recovering from the economic recession of the early 1990s. The stagnated state revenues from sales tax (70% of state revenue) and business tax (25% of state revenue) fell below budget projections in 1990, 1992, and 1992 as the demand for state services escalated. Voters demanded no new taxes and state funding for higher education stagnated and then kept pace with inflation from 1993-1994 to 1995-1996. From 1990-91 to 1995-96 student enrollment (headcount) increased by 7.5%. Appropriations per student dropped to below the 1990-1991 level. This restricted situation was compounded by tuition rates that ranked 31st in the nation and tuition was not raised substantially during the first half of the 1990s. The average full-time annual fees for Florida's community colleges rose from $766 in 1990-1991 to $1,052 in 1994-95.

The drop in the share of state spending for higher education was faster than the national average: from fiscal year 1994-1995 to 1995-1996 the U.S. average went from 6.1% to 6.0% of the state budget and in this same period Florida went from spending 6.0% of its state budget on higher education to 5.25% (Callan & Finney, 1997, p. 111).

For fiscal year 1997-98, of the entire state education budget, the community colleges received 4.34% of the general tax revenue and 5.18% of the lottery funds for a total of 4.52% of all the state funds to the state's educational system. For 2000-2001 this total slipped to barely 4%.

State lottery funds are a distant second to sales tax for Florida community college system revenue. The 1999-2000 total state appropriations to the community college system were $847,557,728, of which $750,387,728 was from general revenue and $97,170,000 was lottery funds. Lottery funds provide no new source of revenue but are

an internal distribution now used to fund performance-based programs. There are additional performance-based budget grants. The Workforce Development Fund is performance-based. The Special Categories are five pots of monies—mostly challenge grants and matching funds.

In 1996-97 College B was ranked second lowest in Associates in Arts expenditures per FTE student among the 28 Florida community colleges at slightly less than $3,000 with a system average of $3,491. The same year College B was ranked third lowest in Associate in Science Program expenditures per FTE student among the system colleges at about $3,250 with a system average of $4,160. For Continuing Education expenditures per FTE during this year, College B ranked 7th lowest of the 28 colleges at close to $3,400 with a system average of $4,222. For College Preparatory Program Expenditures per FTE student, College B ranked 8th highest at slightly over $4,000 with a system average of $3,647. In reviewing these figures with College B's administrators, it was clear that the cost of an FTE for "college prep" had outstripped the cost of an FTE for A. A., A. S., and continuing education.

Up to fiscal year 1995-1996 Florida's community colleges were rewarded for increasing access for high school students with dual enrollment funded at 1.25 FTE. This ratio was decreased to 1.0 FTE in 1996-1997. The state ceased funding dual enrollment in 1999-2000. College B considers dual enrollment a part of its access mission. To cover the dual enrollment program funds were taken from other areas. One administrator explained, "Most of the programs that we have grown in are fee-exempt programs like dual enrollment or occupational programs with nonrecurring dollars or the funding was frozen particularly in [fiscal year] 1999 and 2000." Investing in the development of

programs that are partially funded by the state and then seeing those new programs not receive recurrent funding has led to dilution.

Adult basic education is funded through the Workforce Development Program at less than 1.0 FTE. Because it is considered a service to the community, adult basic education for those who can't read, do not have a high school diploma, or speak English as a second language, " is hard to get fully funded." The State of Florida has 50% high school dropout rate and its community colleges have the primary responsibility for workforce development, remedial education, and basic skills training for adults.

Although the funding for the Florida community college system total FTE declined over the period of the study, there has been incremental increases for College B because College B was growing during a period of time when most other community college in Florida were experiencing declines in enrollment. As a growing school in a time of overall system decline, College B saw the tendency of the legislature is to give minimum incremental funding to all schools. As a growing school College B did not get funded proportionally for growth. (An equalization formula was sought during period of the study to adjust for this situation and was put into effect in 2000-2001.)

Florida schools are funded for the enrollment of the prior year. For the years under study the school experienced high enrollment growth with the corresponding faculty, technical infrastructure, and facility cost increases. "We remained behind the curve on maintenance, hiring full-time faculty, providing support services, and staff development." In addition the number of at-risk students increased dramatically requiring more federal grants for student services.

Workforce funding had some unintended affects. "Workforce initiatives were supposed to be performance-based. In response, every college [in the system] performed

better but there was no increase in the pool of money [from the state]. As a result if a college received more money for performance it was out of the pocket of another college." College B administrators agree that advancement dollars are needed more greatly by the occupational programs for quick response and the ability to impact accountability measures than for AA degree programs where accountability measures have not yet been implemented and where funding is more stable.

In fiscal year 1996 College B received workforce development funds in the form of Florida Department of Labor grants. In 1997, mostly in response to federal legislation that eliminated the number of players and layers in the labor system, Florida restructured its services and dismantled the Department of Labor. It was replaced by a One Stop Center system. College B administrators found that state workforce development grants were difficult to administer because the federal mandate on the One Stop System was incongruent with the mandates on other federal dollars that flowed through the state.

Table 4-2, "Sources of Revenue for Operations—College B," shows the percentage changes in funding sources in relation to one another for the 5 years under study. The table includes operating funds only from the general fund, restricted fund, and auxiliary fund. The auxiliary category includes revenue from the College bookstore, foodservice and computer sales to departments. No construction funds are included. The average breakdown for general operating funds for Florida community colleges in 1998-99 was Federal—.25%, State—68.51%, Local—.02%, Tuition and Fees—23.06%, and Other—8.00%. Source does not equal 100% (Education Commission of the States, 2000).

Table 4-2. Sources of Revenue for Operations—College B

SOURCE	1995-96	%	1996-97	%	1997-98	%	1998-99	%	1999-00	%
Tuition & Fees	$7,425,348	17.51%	7,933,288	17.18%	8,259,552	16.22%	9,067,370	16.48%	9,418,480	16.15%
FLCC Approp	23,889,707	56.35%	26,561,764	57.53%	30,578,914	60.06%	32,058,440	58.28%	34,035,858	58.38%
Local Govt	30,794	0.07%	52,895	0.11%	76,150	0.15%	104,753	0.19%	50,653	0.09%
Federal Grants	4,133,086	9.75%	4,647,012	10.06%	4,724,846	9.28%	5,168,363	9.40%	5,234,437	8.98%
State Grants	1,222,894	2.88%	1,251,875	2.71%	1,497,222	2.94%	2,021,273	3.67%	2,352,464	4.03%
Private Gifts, Grants, Contracts	547901	1.29%	855,326	1.85%	259,056	0.51%	742,124	1.35%	664,683	1.14%
Investment Income	494,422	1.17%	579,332	1.25%	652,725	1.28%	554,056	1.01%	709,608	1.22%
Sales & Services	189,166	0.45%	211,491	0.46%	289,264	0.57%	581,830	1.06%	542,853	0.93%
Auxiliary	3,667,523	8.65%	3,666,620	7.94%	4,220,871	8.29%	4,483,810	8.15%	4,792,105	8.22%
Other Income	795601	1.88%	410818	0.89%	352470	0.69%	228425	0.42%	500741	0.86%
TOTAL	$42,396,442	100.00%	46,170,421	100.00%	50,911,070	100.00%	55,010,444	100.00%	58,301,882	100.00%

Source: College B Vice President for Administration and Finance

Institutional Advancement and its Key Activities

College B has all of the institutional advancement subfunctions: marketing, institutional research, media relations, community affairs, corporate relations, government relations, resource development, foundation, publications, and alumni affairs. Most marketing activities are centralized for the college under the director of institutional advancement who reports to the associate vice- president/provost for the main campus. Enrollment management is decentralized as a responsibility of the campus presidents and instructional deans with direction from the associate vice-president/provost of the main campus. The college foundation provides its own marketing activities with assistance from the advancement office.

Media relations, publications, and community affairs are centralized under the director of institutional advancement. Corporate relations are decentralized with responsibility resting with the five campus provosts, the vice-president for applied science and technology and the three workforce development administrators and deans under his division. The assistant dean of research and reports, who provides for the state reporting, manages institutional research.

Government relations is covered by the president with assistance from the board of trustees and the president's executive council. College B uses the services of a resource development firm in Washington, D.C. to earmark discretionary funds. The firm provides an electronic listing of federal and private grant opportunities that match College B's institutional priorities. The planning and program development office covers the resource development function for federally funded grants such as Pell, Title III and Department of Education TRIO grants (GEAR UP, CROP, Upward Bound, and Talent Search) Perkins, Title IV, and the National Science Foundation; and state workforce

development grants. Curriculum development grants from private sources are sought in conjunction with the foundation executive director. For example, seed money for the Upward Bound programs was acquired through a foundation proposal to the Kellogg Foundation. The resource development subfunction is decentralized and project-based as teams of faculty members write proposals with the coaching of the associate vice-president for planning and program development.

Fundraising from individuals, private foundations, and corporations is centralized with the college foundation. No public dollars are deposited with the foundation. Placing donated dollars with the foundation as a 501(c) 3 organization gives a higher investment yield as state regulations for college investing are more stringent. The foundation executive director reports to the president as an administrative staff member with 40% of her time dedicated to fundraising and 60% of her time managing the foundation. The foundation raises money for scholarships, endowed chairs, instructional equipment, faculty and staff development, special projects, and capital campaigns. There is no alumni campaign. The foundation began building a database of former students and reestablishing a relationship with them in 2001. The foundation plans and implements its special events using foundation operating budget dollars and assistance from publications department for invitations and programs.

The foundation board of directors aligns the foundation mission and priorities with College B's planning statements. For the 5 years under study College B's foundation was in an aggressive growth stage to prepare for its first capital campaign. The assets of the foundation tripled, endowed chairs were funded, and annual campaigns grew markedly. Donors are sensitive to the fact that the community college receives state

dollars for operation—the foundation purpose is stated publicly as the way to move the college's programs from average to excellent.

A unique responsibility of College B's foundation is the management of student residence facilities owned and operated by the foundation. Rental revenue from these facilities was about $500,000 for fiscal years 1998, 1999, and 2000.

<u>Changes in Organizational Structure of the College and Foundation 1996-2000</u>

Administration realignment is an expression of what the president pays attention to, measures, and controls. College B's president prefers to have resource development operating at many levels within the organization. Administrative divisions, faculty and department teams, and individual faculty members participate in resource development.

The current associate vice-president/provost served as the executive director of the college foundations from fiscal year 1995 to fiscal year 1999. As foundation director she wrote the first strategic plan for the foundation. This plan was integrated with the college plan.

When she became associate vice-president/provost the director of workforce program development became the executive director of the foundation. At the time of these position changes the public information officer became the director of advancement and a full time marketing specialist was added to the advancement department.

The State of Florida allows for the salary of the executive director and staff of the college foundation to be paid from college operating dollars. The executive is responsible for upholding the policies of the foundation board of directors while being directly responsible to and evaluated by President. Under her watch new staff were hired to coincide with a state policy change in matching funds. A foundation development

specialist was hired in 1998-1999 to augment the coordination of special events, alumni relations and manage a high tech grant and some workforce development scholarships.

Changes in Management Activities of Administrators and Faculty Members

College B's response to the reductions in per-student funding and its explosive enrollment growth (with increased need for remedial programs) was to focus on income acquisition strategies. It is clear that the president's emphasis on fundraising through the foundation has changed the use of his time and that of his administrators. In 1999-2000 the president spent 75% of his work time on college initiatives and 25% on foundation initiatives. "The foundation meetings have become more complex and [messages about] support of the college through the foundation have become a part of every public speaking opportunity." The president has increased the frequency and number of meetings with major donors to coincide with the capital campaigns beginning in 1998. The chief business officer is spending more time documenting donated dollars for the state match program. The advancement director has outsourced some marketing activities for the capital campaign. To ameliorate the lack of federal financial aid (e.g., Pell Grants) for the growing number of part-time students and those pursuing certificates, the foundation staff have stepped up assistance with scholarship dollars. The foundation executive and staff are conducting more focused prospect research.

The president has taken on a greater role in fundraising of private dollars, especially for the capital campaigns for state match dollars for Public Education Capital Outlay (PECO) funds. In 1999-2000 PECO capital outlay funds were higher than any other public higher education institution except the Florida State University medical school. "However, the gap between the approval date and the receipt of the construction

funds creates the need for capital campaigns to collect state match funds to build facilities in a responsive timeframe."

College B's president attended and presided over special events and met with donors in their homes more frequently toward the end of the study period. "He closes the deal on all large gifts. [For the 1999-2000 capital campaign] he carried building models with him everywhere. He encouraged us to come up with more tools to help him in the ask." The largest campaigns during the period under study were a $1.7 million capital campaign for the entrepreneurship center and a $250,000 campaign for equipment for a new branch campus.

There is more complexity and fluidity in budgeting and planning for construction with the private dollars from the capital campaigns. "It used to be we would say to the architect, give me the best you can for $4.5 million. Now we get the PECO dollars [from the state], and private donations, plus a state match [for capital donations]." This has led to the added task of ensuring that architectural firms have the ability to provide good visuals (e.g., CAD software pictures) and three-dimensional models to use with other marketing materials for capital campaigns.

Members of the college board of trustees, foundation board members, the president, and the foundation director engage in shared discussions of how best to assist the college in its mission. The foundation director has served on the president's council for the time of the study. Her involvement increased with participation in budgeting workshops. The foundation has proved valuable in acquiring initial funds for the creation of branch campuses. "The students are there before the state will fund a new campus." Foundation dollars were used to purchase land for a new campus. Upon receipt of the state PECO funds, the land was purchased from the foundation.

The advancement department has taken on more support services for the foundation: annual campaign printing, invitations to events, and absorbing the tasks from the growth in the number of special events. The advancement director's role has changed over the 5 years of the study to include negotiation of mutual messages with college partners, especially those partners whose image may be more commercial. As the college initiates partnerships with training organizations to bring more learning resources to its students, management of the perceptions of these collaborations and the relationships themselves are included as advancement activities. Community collaborations also require marketing and public relations attention as in the case of the shared library project. Launched in 1997, the college provided land for a county library and the county built the facility.

The associate vice president for planning and program development has increased external scanning activities for planning and resource development in the 5 years of the study. Perception surveys and focus group research on the image of College B and the satisfaction over its services were conducted jointly by the educational services division and the advancement office. Academic administrators, provosts, and deans are expected to glean key information from gatekeepers in the community through their memberships on local nonprofit organizations (e.g., The Kiwanis Club, The Chamber of Commerce) and provide feedback to the appropriate decision makers and planners.

The associate vice president for planning and program development became a reader for the National Science Foundation proposals to learn best practice in submitting program proposals. In 1998 he began to include a line item for marketing activities to program proposals because the college budget could not absorb the cost of marketing new programs. Through the assistant dean of research and reports (under the vice-

president for administration and finance) information from external scanning activities are shared with deans and administrators through an interactive database as part of the departments decision support system and online planning system.

The positive image of the college is seen as the greatest tool for fundraising. The public relations unit led by the public information director has taken on dual roles. During the period of the study public information was charged with public relations for both the college and the foundation.

During the period of the study, College B's written marketing goals were centered on enrollment recruitment and advertising themes for awareness of college programs and services to target markets. Written messages for each of the specific audiences of government officials, business and industry/corporate leaders, financial donors and prospective donors, internal college community, and alumni were not defined. Messages for the student body, the general public, and local/regional media were included. By 1999, the marketing subfunction was beginning to address the sense of building a college brand over departmental brands. Competitive analysis was not addressed in the marketing goals.

The vice president for academic affairs has had grants management responsibility for over 10 years. The difference is that over the period of the study more grants from private sources were managed. The vice-president for academic affairs has seen benefits from his efforts as a reader for National Science Foundation proposals. "The faculty see how small NSF or DoE grants of $5,000, like our Peer Led Team Teaching grant, can leverage private matching dollars." The academic officer defined his challenge for 2000 on as "motivating the faculty to apply for grants in priority areas for the college,

especially for the applied science programs with high-demand, well paying job opportunities."

The vice-president for academic affairs has increased the time spent on the grants process over the 5 years of the study. A new job was the grants proposal process and grants management for a Department of Education (DoE) Fund for the Improvement of Teaching science program. Through the DoE grant, the infrastructure and curriculum were developed for local scientists to work with College B instructors and local K-12 teachers to create peer-led teaching teams. The peer-led team teaching project, initiated by a chemistry professor, was an experiment that has won top-down support from the president's council with matching funds from the operating budget. The vice-president for academic affairs saw the time he spent on grants management double during the period of the study from 2 to 4 hours per week. These five weeks per year spent on grants management is divided between grants for faculty development, curriculum development, acquisition of equipment, startup costs for new programs, and supplemental pay for instructors.

Until 1996-1997 students in the arts and science programs at College B were isolated from university access after graduation. The nearest university was almost two hours north or south. A partnership with Florida Atlantic University and a joint use facility "caused a rebirth of the A.A. program." The vice president for academic affairs worked closely with the provost and advancement director to provide the marketing activities to announce the "2 plus 2" initiative.

With two full-time proposal writers, the approach of the planning and program development office has been to train and assist faculty and administrators to write proposals. During the 5 years of the study faculty members became more involved in

writing proposals and managing grants. This effort was greatly enhanced with the success of the endowed chairs program. “As recipients, they were the greatest advocates.” Instructors became eager to help with resource development and fundraising after a ceremony for the endowed chairs was instituted. The instructors sought grants for high technology programs over any other category in 1999-2000. The faculty began making referrals to the foundation for planned gifts. One referral yielded a $500,000 pledge. Faculty members became aware of their role in naming prospects for endowed chairs because these $100,000 gifts are used for curriculum development. By 2000 faculty members had taken an interest in fundraising to alleviate the adjunct faculty ratio and to receive foundation funds for development programs. By fiscal year 2000 College B had 200 full-time faculty and 700 part-time instructors.

Together the associate vice-president for planning and program development and the vice-president for academic affairs regularly recognize deans and faculty members who have written proposals and managed grants. This recognition is done at faculty meetings, board meetings, and via e-mail. A new practice begun in 1998 was the inclusion of support of the public information unit in writing press releases regarding the approval and success of grants from public sources as a line-item in grant budgets.

The associate vice-president for planning and program development and the grants and contracts fiscal specialist in the planning and program development division began to be seen by instructional deans and program specialists as “consultants.” For the past 8 years or more it has been the practice of faculty, deans and the vice president for academic affairs to serve as readers for grant proposals in order to become more proficient in writing winning proposals. Reliance on the technical expertise of a few administrators has grown as the federal standards for annual results in the TRIO

programs have become requisites for consecutive year funding. The associate vice president for planning and program development identified new grants prospects and approached deans to determine their interest in the funding.

IIAM Continuum

College B has all of the key activities of advancement and they are coordinated. All of the elements of strategic management were documented. During the period of the study College B increased external scanning and trend forecasting activities through the division of planning and program development and the institutional effectiveness unit and the advancement unit. The assistant dean for research aand reports provided the accountability reports. A formal feasibility study for the capital campaign was not done; however, a foundation committee was formed to identify prospects.

In 1999-2000 an online planning system, "Strategic Planning Online (SPOL)," was implemented. The system has all the elements of a strategic planning system. Ten overall college goals are aligned with the mission. Unit goals and objectives for each of those goals are tied to strategies and implementation plans. Results are monitored.
The annual planning and budgeting process began each January for the years under study with a meeting of the planning council and all administrators of the planning units. The annual planning unit goals and budget requests were reviewed at a number of hearings. The president's executive council set the priorities after the hearings. "When legislative allocation is indicated in the spring, salary negotiations and massaging of the budget takes place." Then the final budget was developed and brought to the board of trustees for approval.

The foundation budget process was not linked to the college budget process. The foundation director participated on the president's council to learn of college needs. The foundation had its own operating funds and did not request an allocation from the college.

College B's SPOL software has a budgeting component which has eased use for linking planning and budgeting. "This [SPOL] has become a very appealing tool for administrators." Evaluation of the income acquisition and management system and its outcomes are given on SPOL.

College B did not benchmark with other institutions for resource development or other institutional advancement activities. Exposure of successful activities and recognition was provided through board of trustees meetings, faculty meetings, press releases, college e-mails, and outcomes reports as well as one-on-one recognition from the president and an annual college awards day. There was no formal written evaluation system.

College B began at Stage III of the IIAM Continuum Model in fiscal year 1996 and moved to Stage IV by 2000. College B experienced greater integration of its income acquisition and management system. Organizational effectiveness was enhanced by this greater integration. The college was able to make more nimble mid-course corrections in its strategic management because of greater integration. The obstacles to moving to Stage V were the lack of an integrated marketing plan within the income acquisition and management system and the lack of a formal reward system. This may be an impediment to advancement initiatives, profit making for corporate training, and a strong, positive institutional image with some target audiences. It may also be an impediment to mutual

understanding among all college units regarding centralized messages and identified target audiences.

Conclusions

Working within an environment of decline in state appropriations to higher education as a proportion of the total state budget, Florida's narrow tax base, and an anti-tax electorate, College B succeeded in broadening advancement strategies. State budget cuts were not offset by foundation funds. College B found public grant revenue for the cuts while enhancing the quality of academic programs with private dollars. Evidence of best practice was found in the advancement and income acquisition and management approaches. These approaches included systems thinking, use of informal governance structures, customization of ideas, valuing academic quality over cost containment, top-level support for integration of the income acquisition and management system, the initiation of partnerships and collaborations, and the use of public funding to leverage private dollars.

College B had a strong planning process. This institution had a strong strategic management system to adapt to change and create strategies for income acquisition and management while in a growth mode.

College C

Profile of College C

College C is located in a coastal region of North Carolina. Serving two counties, the college has three campuses with 6,600 students and 3500 FTE in 1999-2000. One FTE is defined as 16 credit hours multiplied by 16 weeks (256 hours). A new campus is slated to open in 2002. Among the 58 community colleges in North Carolina

College C was ranked 6th in curriculum FTE in May 1999. By 2019 the college expects 10,829 students or more than double its current enrollment.

College C had a $26.7 million operating budget in 1999-2000 with $14 million in construction bond funds bringing total revenue to $40.7 million. College C receives local county support for its operating budget. Local support accounted for 9.74 % of operating budget in 1995-1996 and 11.39 % in 1999-2000. College C received 77.6 % of operating budget from the North Carolina Community College System (NCCCS) in 1995-1996 and 73.3% in 1999-2000. The NCCCS revenue includes student tuition and fees. Tuition and fees are collected by the college and used to offset the NCCCS contribution. North Carolina has no policy that sets a target percentage for student share of cost of instruction. For certain continuing education programs, such as defensive driving and computer classes, tuition revenue is not required to offset the NCCCS contribution. The state legislature encourages the college to increase tuition revenue from continuing education programs but places a $200,000 limit on the total profit per year.

The foundation serving College C was begun in 1974 to receive equipment donations. It raised $1 million in 1999-2000 with an operating budget of $19,500 for audit, printing, supplies, and campaign expenses. Total foundation assets in 1999-2000 were $1,816,411.

The State of North Carolina provides a consistent funding formula providing a certain amount for each full time student with no penalty for any private money raised. The NCCCS funded noncredit certificate programs at $3,485 per student FTE in fiscal year 2000. The State requires a dollar for dollar match from the county sponsor for construction funds. North Carolina does not reduce state capital allocation should a

school raise funds from other sources. The State allows foundation personnel to be paid with dollars from the state appropriation to the college.

In 1997, North Carolina funding per capita for community colleges was higher than the national average of $49.00 at $79.11. For 1999, the average expenditure per student FTE in a North Carolina community college was $4,748 and the amount of state support for FTE was $3,838.

Funding for customized training for business and industry is allocated on a project-by-project basis. The noncredit lifelong learning courses are funded in this way:

1. Adult Basic Education skills are fully funded with state and federal funds by FTE and incentives.
2. Personal interest courses are self-supported by student fees.
3. Dual enrollment courses generate state support. The FTE generated by high school students in dual enrollment programs generates the same level of funding as other courses.
4. The tuition rate charged for distance education is the same as the rate charged for on-campus courses for in-state students.

The NCCCS requires community colleges to report on specific performance indicators. These are (a) progress of basic-skills students, (b) performance of college transfer students, (c) passing rates for licensure and certificate exams, (d) Passing rates of students in developmental courses, (e) success rate of developmental students in subsequent college level courses, (f) program enrollment, (g) student satisfaction: completers and noncompleters, (h) goal completion of completers, (i) curriculum student progress and success, (j) employer satisfaction with graduates, (k) employment status of graduates, and (l) client satisfaction with customized training. The community colleges are required to reallocate existing budgets as a source for these funds.

Change in Income Sources 1995-1996 to 1999-2000

During the period under study the college's mission was expanded to that of a comprehensive community college. Explosive growth put a strain on budget and facilities. There simply was not enough space. Square footage had not increased from 1976 to 1996. The FTE went from 2500 to 6000. From 1995 to 2000 fulltime employees went from a little over 100 to 350. Fulltime faculty grew from 70 to 183. During this period there was a 2% growth in the number of administrators. Faculty salaries are ranked 14th highest of the 58 colleges in the NCCCS. Full-time faculty members starting annual salaries average $39,000 and retiring faculty average $63,000.

Building the case for construction and for $100 million in bond referendums required to fund the new buildings was the major initiative for the college. At the same time, College C was faced with funding the growth of faculty and program offerings. College C administrators chose five activities to meet their fiscal goals. They aggressively recruited to keep the FTE numbers up to secure state funding. They encouraged administrator attrition and did not layoff faculty. They increased revenue from corporate training. The president became more involved in fundraising with the foundation.

In 1995-1996 the average percentage of operating budget for NC community colleges from sources other than government, tuition, and sales and services was .04% (Jackson & Glass, 2000). College C was ahead of the average at .74% from private gifts. By 1999-2000 the percentage of operating budget from private gifts for College C had grown to 2.07%.

In 1995-1996 College C's president and administrators decided that program starts and faculty hires could not wait for the 18 months lapse period for FTE funding to

catch up with FTE enrollment numbers. (State funding for changes in FTE is always a year behind the reporting and, as such, FTE growth or decline is not reflected in the colleges' budgets until 18 months later). One of its sponsor counties gave less than 1% of the operating budget per year and the facilities in that county were suffering neglect because maintenance, repairs, and renovation had been put off. Advancement initiatives were stepped up.

Table 4-3, "Sources of Revenue for Operations—College C," gives a snapshot of the changes in revenue sources as a percentage of the operating budget for the period under study. Note in Table 4-3 that the source, State NCCCS, includes an offset for tuition and fees. Table 4-3 includes operating funds only, no building construction funds

Local sponsor funds go toward telephone and building maintenance. Federal grants are mostly Pell, SEOG, Perkins and Work Study grants (e.g., $2.1 million in 2000 from Pell). The private funds are named scholarships that went directly to the college from donors and some foundation transfers. Institutional funds are continuing education and corporate training fees. Auxiliary is bookstore profit, childcare center fees, parking fees, and student activities fees.

The percentages of state and county funding and tuition and fees for College C shown in Table 4-3 for fiscal year 1999-2000 are notably low in comparison to the average breakdown for general operating funds for NC community colleges. The average breakdown for general operating expenses for North Carolina community colleges in 1998-99 was Federal—3.20%, State—75.20%, Local—12.90%, Tuition and Fees—8.20%, and Other—.50% (Education Commission of the States, 2000).

Table 4-3. Sources of Revenue for Operations—College C

SOURCE	1995-96	%	1996-97	%	1997-98	%	1998-99	%	1999-00	%
State NCCCS	$12,640,869	77.58	13,343,289	76.03	13,967,535	73.85	16,605,578	73.03	19,315,412	72.27
County #1	1500000	9.2	2,017,214	11.49	2,034,869	10.75	2,585,724	11.24	2,924,543	10.9
County #2	87,935	0.54	139,166	0.8	123,437	0.65	110,373	0.48	131,769	0.49
Federal Grants	1,301,980	7.99	1,138,630	6.48	1,665,230	8.8	2,223,116	9.8	2,893,297	10.83
State Grants	5,961	0.04	28,805	0.16	151,329	0.8	110,078	0.49	0	0
Private Gifts	120,019	0.74	116,934	0.68	102,727	0.54	226,628	1	551,760	2.07
Investment Income	124,613	0.76	137,136	0.79	226,957	1.2	147,867	0.65	191,986	0.73
Institutional Funds	368,873	2.26	391,948	2.23	358,100	1.9	329,651	1.46	322,602	1.2
Auxiliary	109,462	0.67	230,659	1.31	225,491	1	230,839	1.02	377,448	1.4
Other Income	32535	0.22	4,830	0.03	55,847	0.3	81,729	0.37	16,620	0.07
TOTAL	$16,292,247	100	17,548,611	100	18,911,522	100	22,651,583	100	26,725,437	100

Source: College C Vice President Business Services

Institutional Advancement and its Key Activities

College C has all of the institutional advancement subfunctions: marketing, institutional research, media relations, community affairs, corporate relations, government relations, resource development, foundation, publications, and alumni affairs. Its marketing activities are decentralized while all other advancement functions are centralized. There is no written marketing plan for the college. Marketing messages and target audiences have not been defined. Marketing for enrollment management is under the vice-president for student development. Marketing for the college's BIG (business, industry and government services and training) Center and workforce development is the responsibility of the dean of continuing education, a direct report to vice-president of instruction. The foundation relies on the publications subfunction to help with marketing materials and special events.

The advancement subfunctions of institutional research, media relations, public relations, community affairs, and publications are under the authority of the vice-president for institutional development. Institutional effectiveness reporting and planning are under the purview of this vice-president also. Media relations activities are handled by the public information officer whose role was broadened during the bond campaigns to coordinate a speakers bureau and develop ads. The public information officer writes all the press releases for the college and the foundation.

The government relations subfunction is largely in the hands of the president and the board of trustees. They are the "bird dogs for bills" at the state level by assisting the state community college system lobbyist. The NCCCS will not fund lobbyist positions for the individual colleges. The vice-president for instruction serves as an administrator with the North Carolina National Guard. To cover relationship building with local

constituents, the president and board members serve on economic development and advisory councils. The trustees, president, and administrators agree that funding from County #1 has been consistently satisfactory over the study period at between 9.2 and 11.49 % of the operating budget.

The corporate relations subfunction is spearheaded by the associate dean of the BIG Center under the dean of continuing education, a direct report to the vice-president for instruction.

The college foundation was fallow for the first half of the 1990's. Without a full-time executive director for several years, small sporadic campaigns (the largest bringing in $30,000) continued. In the late 1970's the college's image had been besmirched by a financial scandal. Upon arriving in 1994, the president made the acquisition of private dollars for scholarships, equipment, technology, professional development, and library resources a priority. The foundation's unrestricted revenue grew from $313,404 in 1995-1996 to $653,499 in 1999-2000. The endowment grew from $155,559 to $632,007 during this same period.

The current executive director of the foundation was hired in 1996. The foundation director supervises an assistant and a secretary. The NCCCS allows for state funding from the colleges to pay for the foundation director and staff salaries. Although directly responsible to and evaluated by the president, the foundation officer also reports to the foundation board of directors who set policy for the foundation. The resource development subfunction of College C resides with the foundation except for the mini-grant program, which is coordinated by the dean of vocational/technical education under the vice-president for instruction coordinates. The foundation conducts an annual campaign. The 2000 annual campaign collected $350,000 ($28,000 of which was from

faculty and staff). The foundation does not solicit alumni for an alumni campaign. The foundation has never implemented a capital campaign.

The mini-grant proposals and all grant proposals, public and private, are coordinated through the foundation executive director. The president's endorsement is required. The foundation relies on the public information officer to write press releases recognizing financial donors.

Changes in Organizational Structure of the College and Foundation 1996-2000

In 1995-96 the foundation was under the director for institutional development. In preparation for the campaign for the construction bonds and in anticipation of the administrative services directors' management of this new funding stream, the public information officer (reporting to the director for administrative services) was placed under institutional development. This move put the public affairs, media relations, and community relations units under the director for institutional development. The enrollment management activities were moved from the director for administrative services to the director for student development. Simultaneous with the above changes in structure, the president changed titles of senior managers from directors to vice presidents in 1995-96.

The current foundation executive director was hired in 1997 as a temporary direct report to the vice president for institutional development. The foundation director became a permanent employee in 1998 and direct report changed to the president to underscore the priority of fundraising at the college. A vestige of the prior arrangement and senior staff titles creates confusion among the public. Institutional development is often perceived as the label for the resource development function.

For planning and operations management the five vice presidents meet as a group with the president once per week. The college council, comprised of the senior officers and the college deans meets as a group twice a month. The foundation executive is a member of the college council.

Changes in Management Activities of Administrators and Faculty Members

The two bond referendums passed in 1997, $34 million ($27.8 million for construction and $6.2 million for property for buildings and parking for the downtown campus) and $27 million for construction on the north campus. The 1999-2019 college strategic plan recommended that the Board of Trustees seek approval for a bond referendum by 2001 in the amount of $61,750,000 for classroom/office space and a parking deck.

Beginning in 1995-1996 the institutional research and planning at College C became more comprehensive. Institutional effectiveness concepts and student outcomes assessment based on Nichols' Institutional Effectiveness and Outcomes Assessment Model were adopted to help to build the case for construction and the installation of a data technology network. In this model the institutional effectiveness implementation cycle includes both strategic planning, which is means/process oriented, and institutional effectiveness or assessment planning, which is ends/outcomes oriented (Nichols, 1996). As a result of the institutional effectiveness implementation, community leaders became more involved with college planning. Training for administrators, faculty, and staff on effectiveness and assessing outcomes became institutionalized.

In 1996, external scanning activities included focus groups held with community representatives, allied health employers, financial/business, retail and hospitality

employers, vocational and manufacturing employers, former students, high school students, high school counselors, and personnel from the local public university. A report of the findings indicated deficiencies in young workers' basic skills and lack of access to computer use and the Internet for low-income persons. It was clear that providing classes away from downtown into outlying areas was necessary in order to meet training needs. These findings were addressed in the college's planning. The findings of the focus groups gave impetus to regular external scanning activities in the academic and vocational departments from 1997 through 2000.

An executive roundtable in 1999 was held to determine trends in business and industry, competencies needed by employers, and target groups to train. The results were added to the college's planning process and related to goals of training workers in interpersonal and customer skills as well as specialized training for the growing Hispanic workforce.

During the 5 years of the study the college moved to place institutional planning systems online. The use of Strategic Planning Online (SPOL) software gave all college administrators access to planning cycle documents and program review process documents. Annual program review documents from fiscal years 1998, 1999, and 2000 gave operating costs for curriculum programs. These operating costs were defined as state funded operating expenditures such as supplies, travel, salaries and fringes, equipment repairs, software, and service contracts. Not included were major equipment expenditures, books, or required grant dollars to support the program. In the analysis of operating costs for programs, the differential costs for programs was seen as well as the need for private dollars to sustain higher cost programs, for example, practical nursing. The planning system allowed for each of the five vice presidents to view each other's

budget center as they were prioritizing programs to meet the job market. 15% of College C's students already have a bachelor's degree and are enrolled in a program to get a job.

To cover these cost differentials and to offer priority programs, the president spent increasingly more time each year visiting individuals who could make sizeable donations. His focus was on the activities that personalized the relationships. The president made changes in the flow of donations to the college. Prior to 1995 private dollars were given directly to the college or the foundation. In the period under study it became practice to strongly recommend and state a preference for donations to be deposited with the foundation. This enabled better management and tracking of donor relationships.

The president, college trustees, foundation executive, and foundation board members, have used the nonprofit status of the foundation to leverage private dollars for start up funds for new programs. The nursing program used a matching strategy to get other donors to invest in the success of its nursing students. With a $50,000 challenge grant from the local hospital foundation, a $168,000 grant was received from a private regional foundation. This induced another $50,000 from a hospital corporate contribution, and the foundation gave nursing scholarships obtained through the help of the allied health programs chair who had cultivated relationships with prospective donors.

Foundation dollars began to cover state funding cuts in 1997. When state funding for lab equipment was cut the foundation gave $35,000. In 1999 the state cut funding to libraries. To replace books and library resources $55,000 from unrestricted foundation funds was given. "The State never made up these funds. These little cuts add up—we have to build them into the budget each year."

The foundation executive director has become more involved in the planning activities of the college by serving on the college council, the institutional effectiveness committee, and as a participant in budget hearings. This gave her insight into the initiatives of the college. Since 1997 the foundation officer has had exposure to the state funding stream changes such as the sunsetting of equipment and computer funding. Both the college goals and the foundation goals are reflected in the annual work plan of the foundation. In 1999-2000 the foundation executive and board members began a series of estate planning receptions for local professionals, attorneys, accountants, and bank officials to raise awareness of the ease and types of planned giving for the college. There were no funds earmarked for prospect research in the foundation budget.

Monies from the campus campaign were used for the minigrant program, supplies, equipment, and scolarships. Begun in 1998, minigrants feature a two-page application for faculty and staff to compete for grants for professional development. The average minigrant was $1,000. Minigrant awardees are announced monthly on the college intranet. A 2000 survey found that faculty and staff are very aware of the minigrant opportunities and knowledgeable about how the funds from the campus fund campaign are used. The foundation executive held training sessions on grant proposal writing for faculty members and introduced the foundation at new employee orientations. Five percent of faculty members were involved in grant proposal writing and implementation in 1996. This involvement had doubled by 1997. By 2000, 20% of the faculty had written grant proposals or implemented a grant. Proposals written by faculty were edited by the foundation officer.

With only two additional program chairs since 1996 and the addition of 14 new programs in the 5 years of the study, the vice president for instruction has seen his time

spent on grants management increase by 400% from 1996 to 2000. The management activities of reviewing grant proposals for alignment to college mission and of evaluating grants expenditures took as much time as room scheduling for instruction in 2000. Even so, the vice president of instruction saw many grants opportunities pass during the period of the study because of the intense focus on the instructional space problem, construction management, and the focus on hiring 15% more faculty per year to keep up with new programming. "Trying to get a desk and chair under the new faculty members and find a computer" was a daily occurrence. Another challenge was line item budgeting, which constrains how administrators can spend. "Even though we may have the money [in the budget], we need it here but it's somewhere else."

The number of College C's programs has increased 31% from 1997 to 1999. As offerings have grown over the 5 years of the study, the role of the public information officer has grown. "There is more to tell the community about." Activities have changed to focus less on advertising and more on the production of program videos and the handling of special events and department "open houses."

At the end of fiscal year 2000 College C found its degree programs growing and thriving enough to attract private money to complement FTE funding. During this same year the continuing education division was able to sell training at a profit to bring in revenue for curriculum programs. There were two categories of training in the division of continuing education: occupational extension and self-support. Both made use of open enrollment and customized training as profit centers. For the occupational extension courses revenue from tuition was given back from the state to the college after the state took a nominal processing fee. The FTE formula for the funding of occupational extension courses provided less revenue than the FTE for vocational courses. This public

policy has resulted in the college converting occupational extension courses into vocational programs when they are successful in order to get the higher funding per FTE. In this sense the occupational extension directorate acted as an incubator. For the self-support courses the college could set fees and retain income of up to $300,000 per year. The college exceeded this cap in 1999 and 2000.

The major challenge for generating revenue from the continuing education courses was that the division had responsibility for its own marketing activities and advertising. The workforce development director spent 25% of her time on the development and placement of advertising. The marketing activities were not integrated with the advancement activities housed under the institutional development division. Although relationships have been built with corporations, and business and industry, the continuing education division has not felt the boom that the degree/transfer programs have experienced. The foundation director occasionally asks the staff in this division about donor prospects. With no shared database it is cumbersome to share lists of the training recipients with the college president and foundation executive.

To help sustain the advancement initiatives and the integration of the income acquisition and management system, College C used a salary reward system. Based upon annual performance review employees were given a rating on a Likert scale from zero to four. If the employee reached a rating of four the college matched 1% of the salary increase from the state plus .5%. Recognition included praise from administrators for specific accomplishments at board meetings, internal college meetings, and external events. The president remarked that, "Frequently reminding faculty and administrators that change is painful but worth it," is important. Implementing advancement initiatives and income acquisition and management strategies were first met with resistance, but

now that the college community has experienced the benefits, there is less resistance to taking risks.

Five of the 10 1999-2000 strategic goals for College C relied on advancement activities and proficiencies. Goal No. 4, "Further promote [the college's] presence in the community and strengthen partnerships with entities outside the college including businesses/industries, public schools, universities, and various agencies," was sought without a marketing plan. Goal No. 10, " Manage the college's fiscal resources effectively and seek additional funding through external sources such as grants and donations to support college programs and services," was sought without an integrated resource development or corporate relations plan. The budget allocations for marketing and public relations activities has remained flat for the 5 years of the study.

Given the perceived competition with the local public university for donations from alumni and community individuals and corporations, an administrator commented, "Hey, we can't just rely on donors concluding, "they [the college as a whole] must be successful—look at all the new buildings."

<u>IIAM Continuum</u>

College C has all of the key activities associated with the advancement function and they are coordinated. External scanning and trend forecasting were done periodically. The last extensive survey of all constituent groups was in 1996. An executive roundtable was held in 1999 to determine workplace needs. The relationship of College C's strategic planning to its institutional effectiveness planning was clearly defined in the institutional effectiveness office documents.

By 2000 the vice president of institutional development had instituted a professional development program to assist administrators in college-wide planning and assessment. Budgeting is clearly tied to the planning through the institutional effectiveness planning cycle. This annual cycle includes all of the elements of strategic management. The cycle provides for personnel evaluation to be tied into advancement initiatives and objectives for the income acquisition and management system.

College C began at Stage III of the IIAM Continuum Model in 1996 and moved to Stage IV by 2000. The integration of the income acquisition and management system was required to implement advancement initiatives. The changes in organizational structure, changes in management activities and the adoption of an annual cycle linking strategic planning with institutional effectiveness and budgeting resulted in a more integrated income acquisition and management system. The annual planning cycle and online planning software increased internal information sharing. Foundation planning was integrated with institutional planning. Management became more transparent. There was empirical evidence that academic administrators and faculty had expanded their responsibility for resource development.

The obstacle to moving to Stage V on the IIAM Continuum was that College C had not developed a centralized strategic marketing plan. With no written college-wide plans for marketing, communications, government relations, and corporate relations it is difficult to implement strategies. The authority for marketing as a tool of institutional image and identity was blurred. This may be an impediment to advancement initiatives with some target audiences. Marketing activities were described but there was confusion over consistent institutional marketing messages. One administrator commented, "We are marketing internally, but we are not competing for funds, eyeballs, and opinions."

College C's leaders are aware of this obstacle. Beginning in 1996-1997 an institutional goal in College C's "Strategic Goals and Planning Priorities" has been the goal, "develop and publish a marketing plan." This charge has been included in successive yearly goals.

Explosive growth has increased the complexity of communications and marketing. "We've grown so fast–the PIO [public information officer] doesn't know what is going on at the college. Informal operations centers are left to give the answers." At the end of the period of the study College C administrators were aware of the need to integrate communications and marketing with operations planning and strategic planning.

Conclusions

College C has met enrollment growth, construction, and planning challenges to offset a 5% decrease in state funding as a percentage of the operating budget. Fundraising for private dollars, public grants, and profit from continuing education division training have been used to meet the income acquisition challenges.

College C may consider identifying its target audiences and why these audiences should care about the community college mission. In describing themselves to the world College C must distinguish between presenting a mirror image of itself or presenting a projection of a strong institutional image based upon its marketing plan. There should be a clear connection between academic priorities and marketing priorities.

College C showed a strong 5-year history of planning and strategic management to bolster its income acquisition and management system. College C has made great strides in teaching administrators how to use the new strategic planning system. In particular administrators have learned how to write objectives that are aligned with

college income acquisition and management priorities. “As we combined the planning with budgeting they began to see how they could ask for money to carry out their objectives.”

The president and senior management gave top-level support for the integration of the components of fundraising, resource development, and profit making activities for the income acquisition and management system.

College D

Profile of College D

College D is one of seven separately accredited campuses of a metropolitan Texas system with an overall system budget of $300 million per year. The college had 12,000 credit students and 6,000 FTE in 1999-2000. One FTE equals 30 annualized credit hours. Continuing education and training for business and industry brought the total number of students to 20,000. 80% of College D’s students intend to transfer to a 4-year school.

College D had an operating budget of $44.6 million in 1999-2000. During this same fiscal year tuition and fees made up 27.5% of the operating budget and state appropriations made up 50.3%. College D receives local county support for its operating budget. Local support accounted for 6.9% of the fiscal year 2000 operating budget. In 1999-2000 the State of Texas funding per capita for its 68 community colleges was higher than the national average of $49 at $54.69.

The 28-year-old district foundation raised $8 million in 1999-2000 for scholarships. The foundation’s operating budget was $800,000. The total foundation assets in fiscal year 2000 were $18 million. Prior to 1997 the foundation was considered a passive pass-through organization. It had raised $1.24 million in 1995-1996, and $1.90

million in 1996-1997. After a two-year reorganization and prospecting period in which lead gifts were obtained, the foundation announced a $30 million district-wide scholarship program in late 1998. The 1998-1999 revenue was $8.61 million. The following year $6.60 million was counted as revenue.

Change in Income Sources 1995-1996 to 1999-2000

State appropriation as a percentage of the operating budget dipped from 51.3% in 1996 to 47.5% in 1997. By 2000 the state appropriation made up 50.3% of College D's operating budget. The largest state grant lost during the period of the study was the annual $2.5 million of Job Training Partnership Act (JTPA) dollars in 1997. College D had been the largest contractor for JTPA in Texas.

Delays in state funding to keep abreast of rapid growth and major demographic shifts were the main impetus for seeking revenue from new sources for College D. The state FTE formula is based upon contact hours for credit as well as continuing education courses. The legislature meets every other year to set the biennial appropriation for community colleges. Although the funding is responsive to growth, the response may be years behind the expenditures.

The lag in funding was exacerbated by College D's enrollment growth of between 8% and 9% per year from 1996 to 2000. In 1996 the student body of College D was 60% Anglo American, with Asian, Latino, and African Americans each at close to 15% of the total. By 1999-2000 the Anglo American percentage dropped to 45% and the Latino percentage nearly doubled. The number of Asian students jumped to 18% and the African American percentage of total students remained the same.

These increases in enrollment and student population created eight challenges for college leadership. To begin, greater usage sped deterioration of buildings. "More students means [sic] that you wear out your facilities faster. Everything from equipment to carpets has a shorter life. Everyday you find out, 'What's broken today—computers, musical keyboards, microscopes?' and you have to make the decision 'Which gets fixed first?' "

Competition for instructional space increased. "Not enough space is a primary issue for us. We can get grant money for new programs and their staffing, but we have nowhere to house any new staff." This has led the college to plan a reduced tuition program for students who take classes at nonpeak times.

Demand increased for upgraded technology and equipment. "Residents of the county can attend any one of the seven community colleges [in the district]. So there is competition among campuses over [students' perceptions of] who [sic] has best the technology and most appealing campus. Things like new furniture and landscaping make a difference in enrollment."

Demographic changes were dramatic. As the numbers of diverse and disadvantaged students grew, more immigrants were enrolled in English as a Second Language (ESOL) programs. "More students are learning English and upgrading their work skills with state funding."

The community leadership became very concerned with the high school drop out rate. "Over 40% of the ninth graders in the college district will not graduate high school. The college was charged with helping to keep kids in school by increasing college aspiration among Latino and African American students."

Adult Basic Education in Texas was funded through public education (K-12), averaging about $80/year/student. Adult education costs were absorbed by College D in fulfillment of its mission to serve adult learners.

The number of home-schooled students attending College D had increased substantially. "No tuition is charged for dual enrollment and it is funded on contact hours."

It became a struggle to find funding to keep full time/adjunct faculty ratios above 50:50. "It is very expensive to reduce the number of adjunct faculty and hire full time faculty." The eighth challenge was the effort to pass a bond issue for a student intake center.

The administrators' perception of erosion described above may be compared to College D's operating budgets in Table 4-4, "Sources of Revenue for Operations—College D." Note that Table 4-4 includes operating funds only—no building construction funds. The State Grant category includes Perkins grants received through a block grant. The average breakdown for operating funds for Texas community colleges in 1998-99 was Federal—14.4% (includes all Perkins funds), State—37.9%, Local—17.9%, Tuition and Fees—19.9% and Other (federal financial aid and restricted funds other than Perkins)—9.8% (Education Commission of the States, 2000).

Tuition went from 25% to 27.5% of the total operating budget from 1995-1996 to 1999-2000. The State of Texas sets the minimum tuition. There is no maximum. State legislators have proscribed that state funds should provide for no more than 50% of each college's operating budget. The tuition rate charged for distance education is the same as the rate charged for on-campus courses for in-state students. "It's pretty clear that the state legislators want us to raise tuition and find other [revenue] sources like fees, private dollars and public grants."

Table 4-4. Sources of Revenue for Operations—College D

SOURCE	1995-96	%	1996-97	%	1997-98	%	1998-99	%	1999-00	%
TX State Approp	17,448,187	51.3	18,038,862	47.5	20,410,751	49.9	20,851,410	48.5	22,461,614	50.3
Tuition & Fees	8,506,366	25	10,036,810	26.4	11,285,833	27.6	12,214,205	28.4	12,302,856	27.5
Local Appropriations	2,690,912	7.9	3,189,581	8.4	1,871,656	4.6	2,699,434	6.3	3,069,358	6.9
Federal Grants	4,628,136	13.6	5749728	15.1	5,294,869	13	5,867,750	13.6	5,558,808	12.4
State Grants	265,420	0.8	371,203	1	1,371,634	3.4	735,148	1.74	681,757	1.5
Local Grants	17,977	0.1	47,007	0.1	90,602	0.2	79,793	0.2	25,699	0.1
Private Gifts	0	0	0	0	0	0	7,000	0	0	0
Auxiliary	319,387	0.9	359,468	0.9	351,460	0.9	378,949	0.9	400,503	0.9
Other Sources	162480	0.5	163,405	0.4	192,759	0.5	162,488	0.4	192,063	0.4
TOTAL	34,038,865	100	37,956,063	100	40,869,564	100	42,996,177	100	44,692,658	100

Source: College D Financial Affairs, IPEDS Annual Reporting

On the positive side, College D administrators saw four situations in their favor in regard to income acquisition and management. As the largest college in district, College D received the largest slice of the district budget pie. College D had the capacity to develop quality programming in anticipation of community needs. Its entrepreneurial center, a service and training center had generated $2.5 million for the operating budget in 1999-2000. Lastly, the local appropriation had room for negotiation. Texas law allows the community college district to set the tax rate for property taxes to the colleges in county. The district rate for College D is the lowest of all the county taxing entities at only five cents per $100 valuation.

Institutional Advancement and its Key Activities

College D had all of the institutional advancement subfunctions: marketing, institutional research, media relations, community affairs, corporate relations, government relations, resource development, foundation, publications, and alumni affairs.

Marketing activities are decentralized with support from the district office for television, radio, and billboard advertising. The Director of Information Services under the vice president for institutional advancement had the coordinating role in the development of marketing activities. Directors with responsibility for marketing activities were interspersed within the divisions of institutional advancement, community and economic development, corporate services and workforce training, and student development. The presidents' council and the economic development council decided on major marketing initiatives. There were no written marketing messages or targeted audiences. "It's pretty much a by-the-seat-of-the-pants-operation."

The director of information services was responsible for media relations, which were limited to reactive press releases, and remote broadcasts for special events on campus. Publications are the purview of the director of information services. Fiscal issues were rarely mentioned in the college newsletter. There was district coordination of publications that mention fiscal partnerships. A district wide marketing piece on educational partnerships noted College D's partnership with Microsoft Corporation and American Association of Community Colleges as a mentor school for IT curriculum development. College D's partnership with Phoenix Solution, Inc. to offer training in meeting planning software for the college's Travel, Exposition, and Meeting Management Program was featured. The college did not publish an annual report. The procedure for requesting marketing brochures has remained the same over the period of the study. The unit heads request the development of brochures as part of the budgeting process.

The other subfunctions are under the following directorates: community affairs is under the director of corporate and community relations. Institutional research is centralized under the assistant dean of institutional research/planning. Corporate relations is the responsibility of the director of corporate and community relations who reports to both the vice president for community and economic development and the vice president for corporate services and workforce training. Government relations are largely the responsibility of the college president. The district chancellor is the driving force. The president is invited to Austin for legislative sessions and other lobbying activities. Resource development is in the hands of the dean of institutional advancement who oversees the proposals and management of all public and private grants.

The district foundation is housed off campus in the district office. The foundation provided operational support to College D in the form of scholarships. State law prohibits the solicitation of scholarships directly by the colleges. The foundation executive director interacts mostly with the president, the vice president for institutional advancement, and the vice president for corporate services and workforce training.

The college has an alumni association. A $10 fee allows members access to the library and receipt of an annual publication.

Changes in Organizational Structure of the College and Foundation 1996-2000

For those administrators responsible for income acquisition and management there have been changes in the arrangement of jobs and reporting lines. The moves in the organizational chart have been to create greater integration of advancement subfunctions in order to implement college strategies. On the 1995-1996 organizational chart, there were 10 direct reports to the president. These were four vice presidents (academic and student development, college resources, economic development, and student and institutional effectiveness), two deans (resource development and financial affairs), two directors (facilities services and public information), and two assistants.

By 1999-2000 five vice presidents reported to the president (student learning, student development, corporate services and workforce training, community and economic development, and institutional advancement). Two deans (educational and administrative technology and financial services) and three directors (human resources, facilities services, information services and college relations) as well as two assistants were direct reports to the president. The next few paragraphs describe the rationales for these structural changes.

In 1996-1997 when the vice president of college resources (i.e., the chief business officer) retired, the position was not filled. The director of human resources and the director of facilities services became direct reports to the president. The director of educational and administrative technology became a direct report to the vice president for student learning with a dotted line to the president. The dean of business service, who had overseen human resources and educational and administrative technology, was promoted to dean of financial affairs (title changed in 2000 to financial services).

The second major change in structure was the promotion of the dean of institutional advancement to vice president for institutional advancement in fiscal year 1997-1998. This allowed for greater oversight of the institutional effectiveness planning, research/planning, information services/college relations, and resource development subfunctions. Three new directorates were created: (a) the executive director of information services and college relations reporting to the vice president for institutional advancement and a dotted line to the president, (b) the director of corporate and community relations reporting to the vice president for community and economic development and the vice president for corporate services and workforce training, and (c) the director of organizational learning and service reporting to the vice president for student learning and the vice president for community and economic development. The dean of institutional advancement was charged with spending 100% of his time on grants proposals and grants management with a priority on NSF grants and funds for technology.

Also during 1997-1998 the economic development council was formed. This group consists of the president, vice-presidents, and deans. This council adopted a web like rather than hierarchical structure whereby program directors or community guests

may participate in meetings. The council defined itself as the entrepreneurial arm of the college. The council adopted the job of environmental scanning for the college. It met every month to prioritize opportunities for fiscal development, new programming for credit and continuing education, and marketing strategies.

The split of the division of community and economic development into two was an accommodation of the administrators. The director of corporate and community relations/resource development, who reported to the president with a dotted line to the vice president of community and economic development, became the vice president of corporate services and workforce training. This enabled the vice president of community and economic development to concentrate on the revenue streams that affect continuing education programs. The vice president for corporate services and workforce training could focus on increasing the revenue stream from corporate training. Another reason for the change was the recognition that the different programs have different marketing messages and activities, as well as competitive strategies. The values and needs of the constituents for continuing education programs and corporate and workforce training are very different (e.g., senior citizens vs. Texas Instruments). The training formats differ (e.g., 3-6 weeks for corporate training vs. a 16 week semester for continuing education). Corporate services and workforce training has a more aggressive marketing and pricing structure. The vice president for community and economic development focused on community relationship building and creating entrée for corporate services and workforce training. The new structure decreases duplication of meeting attendance, such as memberships in the local chamber of commerce and telecom corridor council.

Commensurate with the changes described above for 1997-98, the vice president for student development and institutional effectiveness position was recast as vice

president for student development and some of the research and planning activities under institutional effectiveness were transferred to the new vice president for institutional advancement.

All of the structural changes were implemented to position the organization to move quickly should an opportunity arise. The current structure was more efficient because the vice presidents could focus on their revenue generating areas: corporate fees for services, community fees for courses, government and private grants, enrollment management, student support services and student learning for tuition and FTE generation. College D has settled on a combination of centralized and unit-based (also called division) authority and decision-making centers.

The reorganization of the foundation began in October 1997 with a change in the leadership of both the 25-member board of directors of the foundation and the professional staff. The new chair of the board and executive director agreed on a strategic direction that required a change in structure as well as new skills and expertise. Before the 1997 reorganization, the staffing of the foundation consisted of an executive director, associate director, accountant, and secretary. The three support staff were direct reports to the executive director. The executive director reported to the foundation board and the district chancellor. By 1998 there were three new direct reports to the executive director: director of finance, director of administration, director of communications. The new hires were chosen for their area of expertise and none had prior higher education experience. By 2000 the foundation had 8 staff members and was described by the executive director as a "presentation machine."

Changes in Management Activities of Administrators and Faculty Members

This section describes management activities to implement strategies for income acquisition for each of the revenue sources. For College D administrators the obvious place to start to acquire tuition and FTE funding was to create and implement strategies to plan for enrollment and retention. One very effective practice begun in support of an enrollment strategy was to give financial aid specialists the responsibility of training academic advisors on how to help students attain financial aid. This practice helped to maximize Pell grant funding which, both increased enrollment and retention, and, in turn, boosted tuition and FTE. With 80% of College D's students intending to transfer to a 4-year institution, administrators were very cognizant of enrollment trends in strong and weak economic cycles. "In a weak economy they stay longer, to get degrees. In a strong economy they try to get it done on weekends because they are working more hours."

In 1997-98 College D's "American English and Cultural Institute" was founded with a partnership with the University of Texas. Designed to draw F-1 Visa students to attend to learn American English and customs, the institute program was a boost to FTE also. International students completing the program at College D may transfer to a 4-year public school.

A third major approach to acquire revenue was to increase continuing education programs and contract training. The two divisions of community and economic development and corporate services and workforce training became "entrepreneurial centers." Operating under one function at the beginning of the study period, the two divisions were reorganized to build target markets and increase profitability. The creation of these entrepreneurial centers was a direct response to the $2.5 million College D lost

in JTPA grants in 1997. Income acquisition strategies were developed to sell new services and seek corporate payment for training. This was deemed preferable to seeking state workforce development grants to replace the JTPA revenue.

In building revenue for the college, these two divisions generated a net profit that was transferred to the operating budget. The tuition and fees collected minus costs was used as seed money, "it allowed us to be more creative. It [the funds transferred] helped us to grow even with limited funding. Out of general operating fund I can get supplemental funds for technology and staff [from this revenue]."

By 1999-2000 the entrepreneurial centers had contributed $2.5 million to the operating budget and construction costs for a new student services building to be completed in 2002. One floor of the new facility will house continuing education computer labs. The community and economic development division has pledged to subsidize the district funds for the new building. No private money will be raised through the foundation for the construction of this new building.

The success of the entrepreneurial centers in acquiring revenue has been attributed to a narrow and deep strategy. Fewer companies were sought for training sales and the College contracted for a wide variety of training needs to gain a greater percentage of each firm's workforce. Weekly monitoring of income resulted in a quick intervention system when income did not meet projections. Other market niches were sought. The Emeritus Program began in 1999. Designed to attract senior citizens to nondegree courses, the Emeritus program is expected to be income producing by 2002. With assistance from the district foundation, private grants were sought in 2000 for symposia for the Emeritus Program.

A fourth approach was increasing revenue from grants. In addition to the annual $2.5 million in JTPA contracts College D has had much success with Title III funds garnering about $1 million per year. The community and economic development division managed the Carl D. Perkins grants with the institutional advancement division providing monitoring and evaluation. The college had been less assertive in seeking money from the National Science Foundation. Through a collaborative effort with the Community College Humanities Association, the college has received grant dollars from the National Endowment for the Humanities (NEH) for training opportunities to infuse technology into the teaching methodologies for humanities courses. A monograph on the use of the NEH grant will be published through the corporate sponsorship of Frito-Lay.

Although the college attained a fourth U. S. Department of Education TRIO program during the study period, assuring the continuance of the four Title III programs (S.O.A.R., two Upward Bound programs, and Talent Search) have become more competitive. The time spent by the vice president for student services on federal and state grant management and budgeting increased by 30% during the period of the study. The addition of the foundation scholarship program in 1999-2000 required the creation of a case management system for the scholarship students. Just as the TRIO programs are used for encouraging students to complete high school and move into post-secondary education, the foundation scholarship program requires extensive support services through the college case management approach.

College D used federal and state grants to build leverage for private grants and to boost FTE numbers. For example, an Advancing Technology Education (ATE) grant from the National Science Foundation was matched with a Microsoft/AACC Working Connections grant. To give program directors freedom to manage grants while generating

contact hours for FTE funding College D administrators settled in the practice of requesting money for tuition for a specific number of students in grant proposals for program development. Before the period of the study they had listed staff and line items amounts in grant proposals.

College D's district foundation does not solicit public grant dollars for program enhancement and the administrators see this as preferable. The administrators do not see a value in funneling money through the foundation. They believe public granting agencies do not see a value in a fund transfer. Considering the college's strategy of asking for grants for tuition for targeted groups of students it would dilute the merit of this strategy by using the foundation as a fiscal agent.

College D developed programs across the continuing education and the credit curricula. Some full-time faculty had a portion of their teaching load in both credit and continuing education classes. This practice was developed during the period of the study as a way to position the College for both corporate and private foundation grants.

A fifth approach was to gain competency in advancement activities for income acquisition and management. This was achieved through the creation of an organizational learning institute. The pressure points that indicated a need for professional training were new legislation, new programs, new technology, and higher performance standards. A cross-functional team of 20 college personnel followed organizational development and learning organization theories to create the new system for faculty and staff development. It functions to orient employees to the mission, vision, values, culture, and institutional goals of the college as well as to provide professional development opportunities. The new learning institute was linked to institutional goals and priorities with the vision of building collective organizational competencies. New employees received an orientation

to college strategic goals. Budget proposal workshops were taught by the accounting services unit. Workshops on writing grant proposals were offered in the fall before action plans and budgets are submitted to the president's council and the academic council. The workshops on grant proposals are not yet part of the core courses offered by the institute.

College D's sixth approach was a greater emphasis on external scanning and marketing activities. Over the period of the study administrators increased the number of community meetings they attended and the number of memberships they held in community agencies. The president took a more visible role in fundraising by speaking about College D's model programs at national meetings. He met more frequently with donors as requested by the district chancellor.

New sources of data from the Chamber of Commerce and labor market data from partner agencies were found and used for external scanning. The community and economic development division ceased creating their own marketing pieces. The institutional advancement division in conjunction with the information services unit took on the responsibility for creating and producing the continuing education marketing pieces. College D did not have a college-wide marketing plan with written messages, target audiences or objectives tied to a marketing budget.

The seventh approach was fundraising through the foundation. In 1997 College D began integrating college and foundation planning. A district resource development council was formed in 1998 with participation of the district college presidents and key advancement administrators. "This changed how the foundation viewed itself and how the colleges viewed the foundation."

Foundation activities changed markedly. Before 1997 scholarships were offered by donor preference, not necessarily by the needs of the community. It was a less active

foundation so individual colleges went after private money without a district-wide coordinated effort. During 1997 the confluence of a newly elected chair of the foundation and a newly hired executive director resulted in major changes in organization and the strategy of the foundation. The changes in the configuration and numbers of staff are described in the organizational structure section above.

In 1999 the two-year $2 million pilot of the $30 million scholarship program began with 693 students in the district colleges. The scholarship program provides $1,000 each year for tuition and books deposited to student accounts at the district colleges. To identify potential candidates the foundation and colleges are reaching down into the high schools, middle schools, and elementary schools to market the scholarships and their criteria. Each college in the district has customized its retention and marketing approach.

The scholarship program funds a degree or certificate program for county high school graduates with at least a B average or passing grade on the state-required Texas Academic Skills Program (TASP). Qualification for the Pell Grant, the Texas Grants Program, or other financial assistance programs is determined before students are determined eligible for the district scholarship funds. If state or federal funds are available the student's award status is transferred to those public funding sources. In the plan to build the $30 million endowment for the program, the district ensured that all dollars donated to the program are used for students. All administrative costs are covered by the district except for the costs of administering the program on campus. College D has no new money budgeted for new staff for counseling and case management for the scholarship students. Case management services are required for retention and success of first in family to attend college students. A human development course is part of the

services for scholarship participants. College found money for the counseling and case management from the student services budget. Each of the colleges in the district has created its own system for managing and funding the management of the district scholarship program.

The executive director of the district foundation reported, "The scholarship program gave us a calling card to speak with prospective donors, corporate givers, and potential corporate contacts for training. Corporate leaders saw the remediation and dropout rates in our schools and colleges and wanted to provide an incentive for change. Our message is developing a qualified workforce and educated citizenry."

The vice president for corporate and workforce training is a member of the district resource development council. His participation gives the foundation executive director access to information on prospective corporate donors. The executive director of the foundation has been included in college planning meetings, social events, and copied into presidential and administrative memos and information loops since 1997. This has "helped ideas to move to the right pockets to make things happen."

In 2000 the district foundation had yet to conduct its first capital campaign or annual major donor campaign. The focus from 1997-2000 was on a high visibility for its banner scholarship program. The foundation executive made an attempt to deliver funding for an annual project to College D for 1998-2000. "Even though we are not yet doing capital campaigns, I want to show the College that that the foundation is their partner."

College D administrators did not report gains in faculty and academic officers responsibility for income acquisition and management. There was a trend toward greater

awareness of enrollment number and performance indicators as future predictors of funding.

Community college performance-based funding is not in place in Texas. The colleges report the following nine indicators to the state: (a) rate at which students completed courses attempted, (b) number and types of degrees and certificates awarded, (c) percentage of graduates who passed licensing exams related to the degree or certificate awarded, (d) number of students or graduates who transfer to or are admitted to a public university, (e) passing rates for students required to be tested under Section 51.306, (f) percentage of students enrolled who are academically disadvantaged, (g) percentage of students enrolled who are economically disadvantaged, (h) racial and ethnic composition of the district's student body, and (i) percentage of student contact hours taught by full-time faculty.

During the period of the study College D was preparing for these nine performance-based funding indicators. College D's president is pushing regular use of these key performance indicators for early warning of trends. "For 5 years we have known that it's [performance-based funding] coming. We already justify things we do on these nine indicators. It is becoming part of our decision making." The practice of administrators providing numbers on a monthly basis is starting to infuse down through the organization. Financial aid staff and faculty members are beginning to look at income and enrollment numbers every month.

IIAM Continuum

College B has all of the key activities of advancement and they are coordinated. The activities of the alumni affairs subfunction were described as minimal. All of the

elements of strategic management were documented. External scanning was enhanced as described above. The elements of a strategic planning system were evident. Institutional planning was tied to the budgeting process in 1998-1999.

External scanning was found at the institutional level and the departmental level with informal meetings used to share the data. This informal approach was developed from a self-study College D performed as part of its PACESETTER application. “We made our vice president of community and economic development our outside person. She comes to us [the administrators] and makes sure that we know what’s going on in the community. Did you know that Alcatel is doing this?” The foundation executive director echoed the belief that there was no need to do formal scanning. “We get our scanning from 50 ‘who’s who’ of the district on the boards of the colleges and the foundation board. We already have the players, CEOs, and civic leaders.”

The integrated human resources/student services/financial services system, Colleague, was implemented in 1999. This management software was used to enter unit objectives into the system. Each department’s objectives within the advancement function are tied to College D’s mission. The system allows the College to generate key performance indicator data. The planning system had ties to College D’s budgeting cycle.

As a planning tool, Colleague was used in conjunction with a program review system to score every program annually. The assistant dean of institutional research and the vice president for student learning in particular, use these scores in planning. Attention to a shared understanding of the college mission was very high. In addition to interview and document data, the researcher also observed new employees reciting the college mission at orientation, administrators discussing the mission at regular meetings,

and printing of the mission on every door to every building on the campus. "The mission of [College D] is teaching, learning, community building."

In 1998 College D published its five strategic planning priorities for student learning developed for the period 1999-2004. They are (a) response to community, (b) student success, (c) employee success, (d) technology, and (e) institutional effectiveness. The president and administrators showed a shared understanding of the obvious as well as subtle connections of the priorities to income acquisition strategies. The first two priorities have action plans that will result in recruiting and retaining more students, hence more funding for contact hours. The third priority of employee success reflects the intent to reduce turnover. With the help of the learning institute retention is expected to increase. College D administrators also expect to gain organizational knowledge in human resource best practice that can be shared with corporate clients in contract training. The technology priority is a response to the competition with other higher education institutions for best equipment and curriculum development. Using grants that position College D to be a mentor to other colleges in IT curriculum development has leveraged other grant dollars. The institutional effectiveness priority pushed the college community to become more data driven as the integration of planning, budgeting, and performance results are considered.

Faculty members have become more inclined to consider the numbers and ask questions like, "I lost eight students in my program but other programs in the college did not. Why did this happen?" The five strategic priorities have become a strong influence over management activities. Administrators now ask, "under which priority does this advancement initiative fit?"

Evaluation of progress on the performance indicators and the five strategic priorities was also seen in fiscal year 1999-2000 documents for Southern Association of the States accreditation and Continuous Quality Improvement projects. There was a strong emphasis on tracking and improving retention during that year. College D won a grant from the Kellogg Foundation to implement findings of its study to benchmark curriculum development and teaching practices with its developmental studies math and ESOL programs.

College D recognized employees whose efforts to institutionalize changes in the income acquisition and management system were exceptional. The most public award is the "employee of the month." On the last Tuesday of every month a parade of administrators and faculty members brandishing flags and swords wander around campus to the sound of marching music. The parade descends upon the honored employee. If the awardee is teaching class the president gives the proclamation in front of the students. Gifts such as movie passes, a universal parking permit, plants from the horticulture program, and a college mug are presented. A photo of the employee of the month is placed in the college newsletter. An employee may only receive this honor once.

The innovator of the year is for faculty members. The honoree receives recognition at the annual convocation with a formal plaques and a humorous video relating to their contribution. The faculty member of the year is granted the honor of giving the graduation speech. Other recognition events include a thank you board in the administration building and regular notes of thanks published in the college newsletter. After each registration period the registrar's staff receive special gifts, snacks and thanks for their heightened efforts. The foundation staff devised a reward system for the district college employees that have used the foundation private dollars in exemplary ways.

College B began at Stage III of the IIAM Continuum Model in fiscal year 1996 and moved to Stage IV by 2000. College B experienced greater integration of its income acquisition and management system. Organizational effectiveness was enhanced by this greater integration. In creating management practice to increase its capacity to acquire income College D used systems thinking. Thinking comprehensively allowed senior administrators to see whether obstacles were new or part of another systemic problem.

The obstacle to moving to Stage V was the lack of a marketing plan within the income acquisition and management system. This may be an impediment to advancement initiatives, profit making for corporate training, and a strong, positive institutional image with some target audiences. It may also be an impediment to mutual understanding among all college units regarding centralized messages and identified target audiences.

Conclusions

One principle of effective strategic management is consistency of purpose. College D's advancement initiatives were tied to strategic initiatives allied with its mission. College D managed change in its income acquisition and management system to create greater integration by using the 8 best practices described in Chapter 2, pp.45-46.

The study found that organizational structure was changed to match management capability. Functional and operating strategies for advancement were coordinated. Objectives and performance standards were made public and agreed upon at the departmental level for all of the key advancement activities except marketing, corporate relations, and government relations. Organizational learning principles were adopted. A reward structure was created. Each of these actions stimulated and supported the others.

As mentioned above, College D's strategic plan lacked a written marketing analysis component. A competitive analysis was not written and distributed for college personnel to anticipate community needs. With a divisional structure and decentralized responsibility for marketing the only way to ensure that all administrators can know the results expected, who is responsible, and how marketing activities for each unit support advancement initiatives is to put the marketing plan in writing. This is not to say that individual units did not use targeted marketing. In particular, the corporate services and workforce development training division used web content, e-mail, and free samples to sell training to targeted government agencies, nonprofit agencies, and corporations.

If an integrated marketing plan is created unit directors indicated that they would like to have simple tools to assist in its implementation. They would like a college fact sheet or pocket profile with basic information that students, faculty, administrators can use as a marketing piece. An annual report with financial information, information related to college performance, and an integrated college marketing message would be a helpful tool for fundraising, resource development, image building, and alumni outreach.

A decrease in state appropriation as a percentage of the operating budget and loss of a state grant drove College D to integrate its income acquisition and management system. A strategic planning system was created that allowed for transparency of management. "We are now seeing each other's departmental and divisional plans. It used to be that just the president saw them." College D's president still has the big job of integrating the systems and plans but now administrators and faculty are aware of how they can support integration of income acquisition and management.

Summary

This chapter reported the changes in sources of income as a percentage of the operating budget for all four colleges. It described the strategies for income acquisition and management for each of the fund sources. It answered research questions 1 through 4. Chapter 5 is the comparative case conclusions.

CHAPTER 5
CONCLUSIONS, SUMMARY, AND RECOMMENDATIONS

Comparative Case Conclusions

The problem that prompted this study is the need for a description of how (a) organizational structure, (b) administrative management activities, and (c) faculty management activities have changed in community colleges in response to the decrease in proportional funding by the state government of college operations. The purpose is to identify the qualitative elements of the change process and their perceived impact upon the organizational structure and management activities at four institutions. Income acquisition and management systems were compared at four community colleges. The institutional systems were placed at a stage along the Integrated Income Acquisition and Management (IIAM) Continuum. The change process at the four colleges is described in regard to altered management activities and organizational structure within the income acquisition and management system and the advancement function.

Chapter 5 presents a comparative case analysis of the case studies in Chapter 4. The IIAM Continuum is modified. Using the methodology described in Chapter 3, the emergent themes are presented to describe the responses to changes in funding in the four community colleges. The findings for each of the four research questions are presented with examples from the college cases. Findings are described as consistent or inconsistent with the literature reviewed in Chapter 2.

Research Question 1

How has organizational structure changed? All four colleges had changes in the organizational structure of their senior management and the key activities of the advancement function in response to the change in proportional funding of college operations by the state government. The change in governmental funding was seen as a precipitator of organizational change.

At each of the four institutions studied, the president's role in fund raising and resource development grew to include much greater involvement with relationship building, fundraising planning, resource development planning, and image building. The president is seen as responsible for creating the context for the changes in the income acquisition and management systems, building the commitment for advancement initiatives and income acquisition initiatives, and achieving a balance between current management performance and desired changes in the income acquisition and management systems. A key theme was the president as the ultimate integrator. The presidents described themselves as becoming less controlling over the 5-year period. They moved to a greater focus on monitoring. The senior administrators concurred that each president's focus has changed to a greater emphasis on performance indicators.

The organizational structure of the four colleges was changed to further the integration of the key advancement activities. The process of changing the organizational structure followed three themes. The themes are decentralization, integration of foundation and institutional planning, and commitment of resources to advancement.

The theme of decentralization

In moving away from a more hierarchical structure, the intent of the administrators was to move away from a structure that was designed to maintain a

system, a process, or a routine way of doing things to manage for stability. In the quest to manage for change, the four colleges made efforts to build decision makers at all levels during the period studied. Senior administrators in three of the four colleges expressed the need to develop organizational structures that could support more nimble strategies and speed in response to market changes.

To function well, decentralization of the advancement units requires awareness of the larger income acquisition and management system in which administrators, faculty, and staff operate and plan. Also required is a sense of one's responsibility to this larger system. In all four schools the formal structure was changed to decentralize decision-making and control of the key advancement activities. For example, with the inception of contract training to business and industry as a profit center, the four schools decentralized corporate relations and marketing activities. In order to encourage faculty participation in grant writing and management, College A, B, and D decentralized resource development activities often using project-based teams. Some advancement activities were kept in close rein by the president. College A's director of alumni affairs/annual campaign became a direct report to the president. Both College B's and College C's foundation directors became staff reports to the president. College D's head of public relations was given a reporting relationship to the president. These preferred presidential staff positions correspond to Underwood and Hammond's (1999) findings.

The community colleges in the study have organizational charts that portray graphically the relative status of each administrative position; however, many exceptions were made for fundraising, resource development, and revenue generation operations where the president was comfortable with a team approach rather than a hierarchical one. In all cases, administrative councils were designed to make decisions about advancement

goals and strategies. With such names as the president's council, the college council, the economic development council, the planning council, the presence of these groups is an organizational approach to integration. Although the councils do not have managerial lines of authority they are policy-making and advisory groups used to share power. Over the period of the study, the senior management of the colleges became less concerned with individual ownership of ideas. One vice-president said that during the council meetings, "We put the idea on the table and we try to shoot it down [to see how good it is.]"

Decentralization is an organizational approach to better communicate organizational knowledge. The college administrators in the study attempted to change organizational structure if it obstructed horizontal and vertical communication of knowledge about income acquisition and management. During the period of the case studies, the colleges used similar approaches to communicate how parts of the system relate. The use of intranet, formal and informal communication loops, newly evolved councils, and, in two colleges, software designed for linking planning and budgeting were instituted. These approaches also assisted the colleges in determining the causes of income acquisition and management problems in different parts of the system from where the symptoms emerged especially in grant management. The councils described under this theme are an avenue for discovering obstructions and their causes and proscribing fixes, even though their power and authority are not reflected on the organizational chart. They are evidence of the lessening of boundaries around information. All four colleges found that decentralization and tools of information technology resulted in more information access and increased sharing of errors as well as successes. Speed of information sharing increased for grant management, organizational

learning of advancement competencies, external scanning, and frequent monitoring of costs and income for early intervention.

Conversely, without written objectives and plans for three of the key advancement activities, the colleges perceived barriers to information access and sharing of interdependent objectives for income acquisition and management. The four colleges in the study reported that they did not have written plans for the key advancement activities of marketing, communications, and government relations. In spite of the multiple indicators of new forms of organizing of structure, process, and lessening of boundaries to create more flexibility, capacity for knowledge creation, and collaboration seen in all four cases, the lack of written plans for these key advancement activities was described as a stumbling block.

Structure was decentralized in all cases. Some colleges formally adopted project forms of organizing where the structure was built around team members' strengths to implement particular strategies. This was especially adopted for corporate sponsored training and the administrative councils. Process changes were seen in the creation of new relationships and interdependencies with departments and advancement staff where communication channels were opened. The communication patterns and interdependencies of administrators involved with income acquisition and management became web like. Each of the four colleges invested heavily in information technology infrastructure for the Internet, a college intranet, and in two cases, online planning software. All of the colleges conducted capital campaigns or construction bond campaigns during the period of the study. These approaches follow Phair and King's (1998) restructuring argument that current restructuring in community colleges is due to (a) the ascendancy of marketing, (b) the growing role and impact of technology, and (c)

the necessity of capital campaigns. Boundaries within college departments and with external audiences were decreased by the development of strategic alliances with other advancement departments or external competitors. Each of the advancement functions became more focused although not all had written plans.

The theme of foundation planning integrated with institutional planning

All colleges moved to a greater integration of foundation planning and institutional planning. The president of College A was made a permanent member of the foundation's executive committee and the foundation executive director joined the institutional planning committee to ensure a match between fundraising initiatives and institutional priorities. At College B the first strategic plan for the foundation was integrated with the college plan in 1996, and the foundation mission and priorities became aligned with the college's annual planning statements. At College C the foundation director became a member of the college council, institutional effectiveness committee, and a participant in budget hearings. College D's district foundation was restructured in 1997 with completely new board members and staff to meet the skills and competencies of its new strategic direction. The College D foundation director is a direct report to the district chancellor and is included in College D's planning meetings and copied into presidential and senior management memos and information loops.

The theme of resource commitment to advancement

All four colleges showed a willingness on the part of administrators to commit staff and budget resources to institutional fundraising and resource development goals during the period of the study. As more dollars were spent on fundraising and resource development activities, line as well as staff administrative positions were added to advancement units' budgets. College A's foundation increased the number of donor

recognition and alumni events, added three new positions, and assumed the costs for donor research, a planned giving initiative, and its first capital campaign all funded with private dollars in the foundation operating budget. It is the only community college in New York State that does not use state funding for foundation salaries and expenses. The director of institutional research slot, vacant for two years at College A due to financial constraints, was filled in 1998. College B's foundation added a development specialist in 1998 to augment the coordination of special events, alumni relations, and the management of technology grants and scholarships. The advancement department has taken on support services of annual campaign printing and publications and some planning for foundation special events. After a fallow period, College C's foundation hired a director in 1996. College D added three new direct reports to the foundation executive director in 1998 and another position in 1999 to augment communications and marketing activities.

Community college administrators have discretion over designing and coordinating organizational structure and management activities. These decisions about design to carry out advancement activities have an impact on the effectiveness of the organization. As the importance and influence of private support in the life of higher education have expanded, so too have the structures that obtain and manage these dollars. The college administrators in this study designed organizational structures to implement income acquisition and management strategies. The need to fit structure to strategy is well accepted (Jackson & Glass, 2000; Knight Higher Education Collaborative, 2000; Thompson & Strickland, 2001; Tromble, 1998). The density of this fit requires attempts at centralizing strategy and decentralizing operations (Baker, 1998; Birnbaum, 2001;

Howell, 2000; Peterson et al., 1997; Pettigrew & Fenton, 2000; Schmidtlein & Milton, 1990; Tierney, 1998).

Research Question 2

How have the management activities of administrators changed? The literature review in Chapter 2 of this study put forth the view that the strategic management of the advancement function toward income acquisition and management is as essential as the strategic management of any other college function. The presidents in the four colleges in this study have come to this awareness. The presidents vastly increased their roles and time spent on fundraising and resource development in response to the change in proportional funding by the state government of college operations. As mentioned in the question 1 findings above, College A's president became a permanent member of the foundation executive committee and has taken on the public role of chief fund raiser. By the last year of the study, College B's president was spending 25% of his time on foundation initiatives between planning and monitoring of capital campaigns, visiting with major donors, closing deals on large gifts, and speaking engagements delivering messages about support of the college through the foundation. College C's president began to meet with prospects and donors on a regular basis as well as host regular events for the planned giving initiative. College D's president has taken a visible national role in promoting the college's model programs that has resulted in grant funding for the college and multi-college projects.

Every one of the four foundations was restructured and changed the purpose and direction of the foundation to create emphases on new development activities, such as prospect research, recognition, alumni events, planned giving, and grants from specific

organizations. The purpose of College A's foundation shifted from supporting indigent students to supporting the maintenance of quality programs and funding specific projects. The purpose of College B's foundation is less focused on management of student residence facilities. Now raising money for excellence is paramount through scholarships, endowed chairs, instructional equipment, faculty development, special projects and capital campaigns. College C's foundation has moved from a single focus on scholarships to include new activities to leverage private dollars for new programs, covering cost differentials between programs, and picking up the check for cuts in state funding for lab equipment, computers, and library resources. College D's foundation changed strategic direction to initiate a $30 million scholarship campaign tied to dropout prevention.

The colleges spent more dollars on fundraising and resource development. They hired more advancement staff and increased the interaction between administrators who have responsibility for acquiring government sponsored grants and private dollars. The management activities of the four colleges changed to facilitate the integration of the key advancement activities within the themes of integrated planning, transparency of management, linking planning and budgeting, and strategic cycles. Greater integration of advancement activities is required to compete and win program grants attached to institutional priorities than is required to raise money for individual student scholarships.

The theme of integrated planning

As mentioned previously in the findings for Question 1, each of the four foundations' planning activities became more integrated with college planning. Structure was decentralized and communication barriers were lessened. College wide councils and

project-based teams were created. College administrators attained greater understanding of other advancement units' responsibilities, goals, and strategies. At College A standardized forms were created for advancement activities. This fostered greater communication and attention to the thought process of how grant proposals may impact other departments and college priorities. College B used project-based teams to write grant proposals and push resource development into all the layers of the institution while placing work plans online. College C placed all units' work plans online along with their operating costs. Projects funded by the foundation are regularly reported online. College D founded an organizational learning institute to orient employees to the goals and priorities of the college and to build collective organizational competencies.

College D's approach to integration by focusing on the use of core competencies requires defining the required competencies in each unit. Administrators cannot make use of their colleagues' core competencies if they are not aware of them. Evidence of the other three colleges focusing on core competencies for the advancement function was not reported, observed, or found in document search.

The theme of transparency of management

Transparency of income acquisition and management objectives along with the priorities of the institution increased. Administrators, faculty, and staff came to consider the objectives and priorities as common knowledge as a result of the presidents' increased focus on performance indicators driven by state public policy. College A responded to categorical funding cuts and drops in enrollment and the need for stronger advancement capabilities with earlier forecasting data, college wide prioritization processes for spending, and standards for reporting and accountability for evaluation of grant projects. At College B planning reports became more accessible and vice-

presidents and grants and contracts specialists gained technical expertise and the responsibility of consulting with faculty and staff in the technical aspects of grants. At College C making the case for construction bonds led to greater internal and external scanning, while the foundation executive worked with all units to identify individual and corporate donor prospects. College D identified pressure points in the learning systems and income acquisition and management systems and offered orientation and training for all employees through the new organizational learning institute. Increased data bases, sharing of reporting, planning, and implementation data were described by the administrators responsible for the institutional research function. These new practices and changes in managerial systems assisted the college community in understanding the reasons for advancement initiatives.

The theme of linking planning and budgeting

As stated above, transparency of planning objectives and institutional priorities increased in the colleges studied. However, in all cases the financial knowledge of the institution was less known. The college administrators expressed the need for linking the institutional planning and budgeting processes. Academic priorities lead the budget process in these schools, and budgets are used to inform units about resource availability, new directions, shifts in allocations, and problems. In working toward tying planning to the budget, College A implemented a cost analysis system to assist administrators in having more lead time to adjust to unanticipated fluctuations in revenue particularly in the contract training and workforce development units. College A's governance system has shifted to support the use of the college's executive council for quick approval of priority items outside of the formal budget process. College B was in the midst of linking budgeting and planning through its online planning software. College C put the

foundation executive on the institutional effectiveness committee and budgeting committee. College C's online planning software gives administrators access to planning cycle documents and operating costs. In 1999 College D began using an integrated human resources/student services/financial services management and planning software program. It gives key performance indicator data.

The theme of strategic cycles

Strategy cycles for all of the colleges in the study have shortened as a result of public policy and external events. Proficient strategy implementation is the result of much organizational learning. As strategy cycles for income acquisition and management shorten, colleges need an organizational knowledge of different strategies for each of the income sources, e.g., strategies to acquire funding for the fixed costs of buildings, equipment, and personnel; strategies to acquire dollars for technology; strategies to acquire funding for degree programs; and strategies to acquire funding for transitory programming in continuing education, workforce development, and contract training.

College A's strategies for income acquisition may be grouped into three categories. The first set of strategies, "generating increased tuition revenue," was dependent upon the increased competencies and activity of the marketing function of the college. Increasing enrollment of international students, dual enrollment students, distance-learning students, and out-of-state students as well as increasing nonsponsor county chargebacks required a ramping up of marketing activities. Maintaining a range of 21% to 39% of the county's yield of high school graduates while competing with other colleges required more frequent marketing initiatives. Selling customized contract training to business and industry at a profit while selling joint ventures with online training companies and other organizations required new sources of marketing data and

new corporate relations activities. The second set of strategies, "advancement initiatives," was dependent upon increased competencies and activities of resource development and government relations for public agency, state consortia, and federal block grants and member item funding. The foundation initiatives were dependent upon increased competencies and activities in marketing and corporate relations for grants from private foundations and gifts from individuals for capital campaigns and lab and equipment costs not covered by state programs for applied science certification programs. The third set of strategies, "new fees," saw greatest success with the technology fees.

College B's strategies for income acquisition are grouped into the categories of "image building," "advancement initiatives," and "partnerships." The image building strategies were dependent upon increased reliance on marketing competencies. The activities to support image building were (a) outsourcing sophisticated activities and materials for capital campaigns and (b) adding the cost of the development and implementation of marketing activities for new programs into the grant proposals for the programs. The second set of strategies, "advancement initiatives," was dependent upon increased competencies in resource development, foundation fund raising, and corporate relations to support (a) capital campaigns and participation in the state match program, (b) department budgets through endowed chairs, (c) dual enrollment programs, (d) growth in technology infrastructure, (e) purchase of instructional equipment, (f) facilities maintenance, (g) scholarships, and (h) faculty and staff development. The activities to support the advancement initiatives included land purchases for reimbursement by the state and a capital campaign for an entrepreneurial center for contract training. The third set of strategies, "partnerships," required reliance on the government relations and

corporate relations activities for the creation of joint use facilities with a neighboring university and county library.

College C's strategies for income acquisition are grouped into three categories. The set "image building" was dependent upon increased competencies in marketing, government relations, and corporate relations to succeed in passing three campaigns for $100 million in bond referendums for new buildings, to aggressively recruit to attain high FTE numbers for state funding, and to increase profit revenue from corporate training. To implement the image building strategies, the college set an institutional goal of writing and publishing a marketing plan. The strategies in the set "advancement initiatives" also required greater competencies and activity in the marketing and corporate relations functions. Activities included the raising of private dollars as leverage for starting new programs that would generate FTE (hence generate state funding) and the raising of private dollars for lab and other instructional equipment purchases. For the fundraising activities, the foundation required more assistance from other units for marketing and corporate relations activities. The "revenue from training" strategy added the activities of selling customized contract training and an entrepreneurial center. The occupational extension directorate became an incubator for vocational courses that would generate FTE formula funding.

College D's strategies for income acquisition are grouped into the three categories of "target marketing," "advancement initiatives," and "revenue from training." The targets and marketing activities included recruiting transfer students for FTE funding and tuition, recruiting older adults for continuing education course fees, and selling corporate training to Fortune 100 companies. Using more sophisticated environmental scanning and collection of marketing data were activities in this strategy set. The second

set relied on the resource development activities of using public grants to leverage private dollars for programs with the best practice of justifying program expenses with student tuition costs, not line item budgets. The newly created organizational learning institute offered workshops on grant proposal writing. The foundation raised private dollars for scholarships for at-risk students to promote college aspiration. "Revenue from training" included the activity of selling customized corporate training to support the college operating budget.

The findings for Question 2 give empirical evidence of some best practice in strategic management for higher education described in the literature review in Chapter 2. Managerial judgment and action were used to implement strategies to align the institutional income acquisition activities with the funding environment and institutional mission and goals. These practices served to increase the integration of the colleges' income acquisition and management systems and are evidence of support for the theoretical bases for the IIAM Continuum.

Research Question 3

How have the management activities of faculty changed? The analysis of data from interviews with senior administrators and advancement officers at the colleges found that a greater percentage of faculty members at each of the schools participated in identifying grant and individual donor prospects, writing grant proposals, and managing grant activities at the end of the study period. The management activities of faculty changed following the themes of expanded development responsibility and information sharing.

<u>The theme of expanded development responsibility</u>

Emphasis on resource development and external relations is becoming a larger part of academic vice-presidents' and deans' portfolios. Training in orientation to advancement and technical aspects of proposal writing is becoming more available in the four schools to strengthen interest and participation among faculty members.

After a task analysis, vice-presidents for academic affairs/instruction/learning reported that they are spending more time on grant management. At College A the time spent on grant management and proposal writing by the academic vice-president doubled to 6 weeks per year over the 5-year period of the study. In addition to the increased number of grants sought, the management activities of statistical reporting, accountability reporting, and evaluation reporting of grant projects are more widely required by grant makers than in the past.

At an average of 4 hours per week spent on grant management, the chief academic administrator at College B used about same amount of time as his counterpart in College A—6 weeks per year. College B's vice-president for academic affairs managed grants for professional development, curriculum development, equipment acquisition, supplemental pay for instructors, and start up costs for new programs. During the 5 years of the study, more grants from private sources have become his management responsibility. His favorite project was begun in the period of the study. He led the grant proposal process and grant management of Department of Education funding for infrastructure and curriculum development for local scientists to work with College B's instructors and K-12 teachers to create peer-led teaching teams. College B's chief academic officer worked very closely with the associate vice-president for planning and program development and the grant specialist in that division to educate faculty

about how to leverage private matching dollars with public grants. In the last year of the study, they identified their challenge of motivating faculty to apply for grants to support institutional priorities, especially applied science programs with high-demand, well paying job opportunities.

The resource development activities of College C are the responsibility of the foundation staff. Some grants management responsibility is coordinated by the dean of vocational/technical education under the vice-president for instruction. All grant proposals, public and private, are coordinated through the foundation executive director. The president's endorsement is required for each proposal. Although the vice-president of instruction did not write grant proposals, the time he spent on grant management increased by 400% from 1996 to 2000. With the addition of 14 new programs in the 5 years of the study, the management activities of reviewing grant proposals for alignment to college mission and of evaluating grant expenditures took as much of the vice-president's time as scheduling rooms for instruction.

At College D the dean of institutional advancement oversees grant proposals and management of all public and private grants. He also writes many of the proposals. The district foundation does not solicit public grant dollars for program enhancement. From 1996 to 2000 College D's vice-president for student services doubled the time he spent managing federal and state grants. During 1999 and 2000 he took on the responsibilities of the case management system for the student services of the foundation's ambitious $30 million scholarship program.

Growth in number of faculty involved in identifying individuals as donor prospects and grant prospects, writing grant proposals, and managing grants. At College A, annual institutional goals included increasing grant proposal output from academic

program faculty. With the increased efforts of foundation and sponsored grants staff to raise awareness of the availability of public and private grant dollars and the adoption of a standardized form, 20 of the 160 full-time faculty members were recruited and have written grant proposals during the 5 years of the study. Most of the faculty members new to proposal writing were especially interested in strengthening the college's service learning program. To develop the advancement skills of the proposal writers scattered across divisions and departments, College A administrators have encouraged committee work and the formation of a teaching and learning center to offer training in technical competencies.

College B faculty became more involved with grant proposal writing from 1996 to 2000. Their advocacy of and participation in advancement was sparked by an endowed chair initiative. After the institution of an annual ceremony for the recipients of the endowed chairs, faculty member advancement activity spiked. Faculty members gave many prospect names to the foundation staff to be solicited for $100,000 endowed chair gifts that could be used for curriculum development. Faculty referred annual campaign donors to the foundation to pledge planned gifts. The number of faculty grant proposals for the enhancement of high-tech programs increased.

College C's mini-grant program for professional development receives dollars from the campus annual campaign. The average mini-grant is $1,000 and requires a two-page application. In 1996, 5% of faculty members wrote mini-grant applications. By 1997 the percentage had doubled. By 2000 20% of faculty members wrote applications and implemented mini-grants.

At College D, the program directors work with the dean of institutional advancement on proposals for program grants. No data was given on faculty involvement.

The theme of information sharing

More sharing of advancement resources and information and more training for faculty in resource development occurred. Administrators and faculty identified a need for training systems that supported institutional memory and learning organization concepts while faculty were gaining expertise in grant proposal prospecting, writing and management and tying grant activities with institutional strategic planning. College A achieved greater cohesiveness in faculty and foundation teamwork by using committees.

Throughout the period of the study it has been the practice of College B's vice-presidents for academic affairs, associate vice-president for planning and program development, deans, and faculty as well as grant specialists to serve as readers for organizations making grant proposals in order to become more proficient in writing winning proposals. Faculty members view the associate vice-president and his staff as consultants in the prospect, writing, and evaluation aspects of grant management. During the 5 years of the study, the vice-president for academic affairs and the associate vice-president regularly recognize deans and faculty members who have written proposals and managed grants. College C foundation director gives workshops on applying for mini-grants.

College D's dean of institutional advancement, along with several vice-presidents, sits on the resource development council formed in 1998. The organizational learning institute began to offer workshops on writing grant proposals in 2000. The workshops are offered in the fall before action plans and budgets are submitted to the

college councils. Beginning in 1998, the dean of institutional advancement spearheads the efforts to assist program directors in College D's strategy of asking for tuition for targeted groups of students in all grant proposals for program development. This practice frees the directors from the ties of line item budgeting while generating contact hour for FTE funding. The dean also assists program directors in finding ways to use public grants to leverage private matching dollars.

The new activities documented under these themes are approaches to change the standards of dean, program director, and faculty involvement and to gauge the understanding among faculty and staff of the college financial position and indicators of institutional effectiveness/performance. The comparative case study findings support the literature in Chapter 2 and, in particular, Matsoukas' (1996) research finding that a successful community college grant office should be integrated with college planning and management with faculty and staff participation. Resource development is not an ancillary service.

This study supports Miller and Seagren's (1997) research suggesting that (a) community college department heads and faculty have become more open to an expanded role in resource development tasks and planning because of an increased awareness and understanding on their part of community college income acquisition and management challenges and (b) there is a need for an aggressive professional development programs to provide applied training in resource development for faculty and staff. The academic vice-presidents, deans, and faculty in the four colleges in this study became more aware of the need for new income acquisition and management strategies as their colleges experienced a decrease in proportional funding by state government for college operations with increased revenue from student tuition and fees,

government grants, contracts, and advancement initiatives supplanting the decreased proportion of state funds.

Research Question 4

Where do the colleges systems stand on a continuum from a disaggregated system of income acquisition and management to a totally integrated system? Have they moved left or right along the continuum during the bounded instance of the study? Movement to more integration was experienced by all four of the colleges during the bounded instance of the study. In 1996 all four colleges had every one of the key activities associated with the advancement function (albeit some described by administrators as weak) and some were coordinated. All four colleges began at Stage III of the IIAM Continuum in the first year of the 5-year study. By 2000 all four of the colleges showed greater presidential support of the advancement function, especially fundraising; but College A fell short of showing a strategic management system as illustrated in Figure 2-1. All four of the colleges created stronger links between planning, budgeting, and financial management of their institutions. Organizational effectiveness was enhanced by this greater integration. College B, College C, and College D had a strategic management system and some elements of Stage V but, without written plans, lacked some interdependencies and mutual understanding of the advancement activities and objectives. A strategic management system provides the context defining the college's goals and objectives.

Yes, the colleges experienced enormous integration. When the funding pattern changed, the organizational structure and management activities changed to create greater integration of the advancement function. It is being done and it can be done. If a

college has not integrated its income acquisition and management system and wishes to, the experiences of these colleges provide a road map on how to move to a more integrated stage. The 8 steps recommended from this study are

1. Establish a foundation.
2. Integrate foundation planning with college planning.
3. Integrate foundation activities with other advancement function activities.
4. Scan the environment.
5. Write mission plans, goals, and objectives for the key advancement activities. Include an integrated marketing plan.
6. Develop skills/competencies/capabilities to support the goals of the plan, e.g., training in resource development or writing plans for marketing, communications, or government relations.
7. Use a strategic management system to centralize strategies of income acquisition and management while decentralizing operations.
8. Use the president or a leadership team headed by the president to champion integration of income acquisition and management.

Modifications to IIAM Continuum Theory

As explained in Chapters 2 and 3, comparative case studies can suggest what to do or what not to do in a particular situation. They can examine a specific instance while illuminating a general problem. Comparative case studies can test theory.

Following the methodology of the comparative case study, modifications to the IIAM Continuum are indicated by the comparative analysis. In all four cases it was found that the key activities associated with advancement were not organized under one administrator's authority or control. Setting institutional goals and strategy for the key advancement activities and evaluating effectiveness was a responsibility of college councils. This is clearly seen in College D's economic development council which sets

marketing and communications priorities with college-wide input and input from the foundation executive director. This comparative case study found that in all of the colleges there existed a council of senior management with input from the total institution that functioned as a formal strategic and operational management (and therefore controlling) decision-making body not reflected on the organizational charts of the four colleges. These councils had oversight of advancement activities. As in the sixth factor described in the literature review (Chapter 2), these horizontal structures had become more formalized to integrate and sustain changes in the income acquisition and management systems of the colleges. Organizational structure is a device to instruct organizational members about how to act to reach organizational goals and structure is more than what can be written down about how things are supposed to work. “People are extraordinarily clever at circumventing any structure to accomplish what they prefer” (Cohen, 2000, p. 179).

Therefore evidence b of Stages IV and V of the IIAM Continuum is modified to state, “all directors of the key activities report to an administrator who oversees, or an institutional council that oversees, all of the advancement activities and the president provides top level support for the advancement function.” Table 5-1 is the modified IIAM Continuum. Table 5-2 compares the movement of the colleges on the IIAM Continuum during the period of the study.

In consideration of alternative theories to the IIAM Continuum as a model, a limitation of this study may be that the four schools in this study are not indicative of the majority of community colleges. College A’s income acquisition and management system, the least integrated of the four, is a very high functioning institution and is very far along the continuum at Stage III. Aggregating the income acquisition and

Table 5-1. IIAM Continuum

(Stage I Disaggregated)--- (More Aggregated Stage V)

Stage I	Stage II	Stage III	Stage IV	Stage V
College has some of the key activities associated with the advancement function and they are not coordinated Marketing y/n Institutional Research y/n Media Relations y/n Community Affairs y/n Corporate Relations y/n Government Relations y/n Resource Development y/n Foundation y/n Alumni Affairs y/n Publications y/n	College has all of the key activities associated with the advancement function and they are not coordinated	College has all of the key activities associated with the advancement function and some are coordinated	College has all of the key activities associated with the advancement function and they are all are integrated as evidenced by a) institutional strategic management system* b) all directors of the key activities report to an administrator who oversees, or an institutional council that oversees, all of the advancement activities and the president provides top level support for the advancement function c) key activities are interdependent and administrators share and use strategic management information from the other key activities' systems	College has all of the key activities associated with the advancement function and they are all are integrated as evidenced by a) institutional strategic management system* b) all directors of the key activities report to an administrator who oversees, or an institutional council that oversees, all of the advancement activities and the president provides top level support for the advancement function c) key activities are interdependent and administrators share and use strategic management information from the other key activities' systems d) the college evaluation system rewards and recognizes innovating ideas, team building, continuous views of process changes, and attention to learning organization practices that lead to mission-based high performance

* Institutional Strategic Management System has (a) Mission and Objectives, (b) Strategic Analysis including internal and external scanning, (c) Strategy Formulation, (d) Strategy Implementation, and (e) Strategy Evaluation.

Table 5-2. Comparing the Stages of the Colleges

	College A	College B	College C	College D
Movement on the IIAM Continuum 1996 -2000	III – III	III – IV	III – IV	III - IV

management system from Stage III to IV may be the most complex and difficult of the moves to a next stage because of the increased proficiencies and time required to build capacity.

Summary of Findings

The four cases describe the changes in the ways that the colleges did business and how and why they made decisions regarding the integration of income acquisition and management. Evidence was seen of the eight recommended factors in Chapter 2 for implementing and sustaining the integration of the income acquisition and management systems. Of these eight factors, four were present in all four cases. These four factors acted as leverage points to help create and sustain the integration of the income acquisition and management systems: (a) persistent and top level support of the president and senior administrators, (b) a systems perspective, (c) team management, and(d) continuous views of process changes to achieve higher level of competencies in the activities within the advancement function. The four cases describe the advancement initiatives during the period of the study. The documentation of parallel strategies for resource development and fundraising (e.g., emphasis on institutional image building) and the broadening of advancement strategies (e.g., planned giving, corporate relations activities, special events) support Schuyler's (1997) research on fundraising in community colleges.

The benefit of concerted changes in organizational structure, management activities, and greater integration of the advancement activities was more income from targeted revenue streams. The colleges raised more private dollars and received more grants from public agencies. The four colleges created a flatter organizational structure to identify and respond to changing market needs and the needs of target audiences. External scanning activities increased as the image of the college was seen as most important for fundraising. Empirical evidence for the ascendancy of marketing and the need for greater competencies and planning for this function were found. These findings support the higher education research cited in Chapter 2, which describe the ascendancy of the marketing function in community colleges.

Management Implications

Using the IIAM Continuum Model, community colleges may do an analysis to determine in which stage their institution is operating along the IIAM continuum. Management development activities can be used to move a college to a more integrated stage.

The overriding income acquisition and advancement obstacle to movement to greater integration for each of the colleges studied was that they had not centralized strategic planning for marketing activities to the audiences of government, community, and corporate decision makers to achieve income acquisition and management goals while they decentralized operations. With no written college-wide plans for marketing, communications, and government relations, it is difficult to choose and implement strategies. The authority for and lines between marketing and community/public affairs are blurred as tools of institutional image and identity. A lack of written communications,

marketing, and government relations plans, and, in one case, no strategic plan may be an impediment to advancement initiatives and a strong, positive institutional reputation with some target audiences. The colleges relied on the quality of external relationships for government allocations, grants, private donations, collaborative projects, corporate contracts, and recruitment of students, faculty, and trustees. Administrators described the use of marketing activities, but many did not have marketing budgets. Confusion was described over the lack of consistent institutional marketing messages.

These findings indicate a weaker sense of direction in the strategic management of three of the key advancement activities. These three advancement activities are highly reliant on marketing competencies/proficiencies. The need for written purpose and goal statements with ties to the institutional plan for the overall advancement function and its respective units' is underscored here.

Institutional policies can be alive but invisible. Policies may be implicit—not written nor even intended but part of day-to-day operations. To create incentives and clear confusion, policies should be put in written form. Written policies should include the results expected. In the four cases the advancement policies and strategies for marketing, communications, and government relations were alive but not written. The only way for all the administrators, faculty, and staff working within the income acquisition and management system to know the policies and have a shared understanding is to put these policies in writing.

Based upon the empirical evidence in this study and the research reviewed in Chapter 2, marketing must become a core competency of the advancement function in community colleges. College leaders must determine the level of proficiency required to implement strategies to fulfill their institution's income acquisition and management

goals and institutional priorities. The findings in this study also support community college and public management literature that recommends that administrators use inclusive approaches to sustain integration of their income acquisition and management systems (Alfred & Carter, 1999; Cohen et al., 1994; Deegan & Smith as cited in Baker, 1994; Pettigrew, 2000; Rowley, Lujan & Dolence, 1997; Rowley & Sherman, 2001; Tierney, 1998). The consideration of how formal strategic goals will be received by faculty and staff (who may or may not better understand the connection to students and markets), students, target markets, and other constituents involves some understanding of the use of marketing activities.

Interviews at each of the four colleges found the perception of the college's lack of investment and capacity in advancement, particularly in marketing and resource development. Although some cuts in administrative positions were documented, this perception is countered by the finding that all of the colleges increased staffing for resource development, foundation fundraising, and other advancement activities as income acquisition efforts increased. Not enough capacity to do the jobs in advancement was the problem, not the amount of money spent. College administrators gave comparisons of the budgets and number of staff at local public universities that are seen as competitors for grants and donated dollars to describe their perceptions of lack of capability. These perceptions indicate a need for capacity building grants to community colleges on a state or regional level to build competency in marketing, resource development, and fundraising.

The success of strategies for advancement and income acquisition and management in community colleges relies on strong governmental relations. The activities of government relations are used to manage complex programs of assistance

and regulation and to influence emerging legislation to support the community college mission (MacArthur, 2000). In all four cases the senior administrators, faculty, staff, and students did not have a uniform notion of "What is the college doing to affect public policy decision-making regarding funding for community colleges and how can I help the efforts?"

The comparative case analysis found that for each of the 5 years covered in the study at least 50% of the annual institutional goals of the four colleges were image building, marketing, and planning goals. The study found that the colleges' parallel strategies (a) emphasis on institutional image and (b) broadening of advancement strategies, require greater marketing competencies and strategic management of marketing. Some administrators reported ambivalence over the heightened attention to marketing. Senior management of the colleges may need to determine if there is a values conflict within the college community over the decision to make marketing a core competency of the institution and to allocate the necessary resources to marketing activities.

This study tested the IIAM Continuum as a model. It documented the use of best practice in higher education strategic management (as identified in Chapter 2 and used as a framework for the IIAM Continuum) in all of the four colleges. The following best practices were described by administrators, observed, and discovered in document searches. These best practices were found in the advancement and management approaches to integrate the income acquisition and management systems in the four colleges

1. In considering their responses to the change in proportional funding of college operations by the state government, senior administrators at the colleges employed systems thinking to plan and create strategies for income acquisition and management.

2. Senior administrators used and respected informal governance structures to (a) preserve relationships between units, (b) prevent administrative fiat, (c) show support for horizontal work groups and communication, and (d) gain input from the entire college community. For oversight of some advancement activities, senior management created a hybrid of formal and informal councils to implement and sustain desired changes in the income acquisition and management system.

3. Senior administrators encouraged individual departments and work units to customize innovations and ideas for strategy implementation to draw in commitment of operational levels.

4. Administrators attempted to benchmark the performance of their units with other community colleges. They questioned whether their units were staying abreast of best practice in their field.

5. Senior management valued academic quality priorities over cost containment priorities.

6. The president and administrators gave top-level support for integration of the income acquisition and management system and its components of resource development and fundraising initiatives.

7. The colleges created partnerships and collaborations whereby they could serve as brokers of contract training and grant administrators.

8. The colleges used public funding to leverage private dollars. The giving of monetary donations, grants, and property from private sources was encouraged and influenced by the positional advantage the colleges gained from choosing and acquiring public grants with objectives that were similar to the private contributors' aims.

The four case studies documented the processes of approaches to integrate the income acquisition and management systems shared by the four colleges. The findings are relevant to community college administrators in similar situations. In this study of the key advancement activities of the community college income acquisition and management system, similar problems, opportunities, and strategies were found. The colleges that succeeded in implementing the same strategies are alike because general strategic management principles prevail. The senior managers interviewed in this study were strategic decision-makers. The cases described the movement of the colleges

toward greater integration of their income acquisition and management systems as well as advancement strategies that required the integration of the goals, policies, and management activities of advancement subfunctions.

Public Policy Implications

Public community colleges can no longer rely on state legislative appropriations, local funding, and tuition to meet student needs through from their operating budgets. It is necessary to compete for grants from public and private sources. The colleges must have direct relationships with federal and state agencies that fund community college programs. Community colleges must raise money from individuals, private foundations, and corporations to maintain state standards of excellence in learning, teaching, student services and operations. Public policy closure has taken place on the issue of mixed support systems. Community colleges are expected to and must assume responsibility for resource development and fundraising. The general public as well as business and industry must understand the public policy, as they will be asked for contributions. The study found that all four colleges in the study integrated their income acquisition and management systems to acquire income from new sources.

To acquire these new income streams community colleges must function as nonprofit organizations seeking contributions and as private entities selling services. Any new public policy considerations for community colleges will have to take into account these nonprofit management and private sector management aspects in order to increase the likelihood of other forms of support for the colleges' general operating budgets and the success of advancement efforts.

Recommendations for Further Study

Further study is needed on the use of the IIAM Continuum as a model and on the generalizability of the IIAM Continuum and the comparative case study findings to similar contexts. The four case studies within the comparative case study and the overall comparative case study were based upon the usefulness of the IIAM Continuum as a theoretical model that (a) classified the observed and known into a scheme, (b) was used as an explanatory device for describing possible relationships between events, (c) served as a predictive tool from which the user can determine possible outcomes, and (d) operated as a basis for further research and the extension of knowledge. For future studies testing this model, producing a rival theory and studying more than four cases may decrease possible threats to internal and external validity. The extent to which the study's findings may be applicable to similar contexts increases the ability to make predictions that observed community college administrators will respond to public policy which decreases the relative percentage of government funding for college operating budgets by integrating advancement activities within the income acquisition and management systems. Reliability will be increased by the production of similar findings with similar cases. The external validity of this study can be increased if the theoretical model can be tied to other studies of the income acquisition and management systems of the four schools.

Further replication of the case findings in this study will increase the validity. Other case studies may support the theories underpinning the IIAM Continuum and the IIAM Continuum as a model.

Research is needed to acquire an operational body of knowledge on community college organizational structures, the differences in designs, the effectiveness of their

designs in support of income acquisition and management systems. This study did not examine the integration of a community college's the income acquisition and management system with the values and the culture of the institution. Studies measuring and describing this integration could help administrators to implement advancement and income acquisition strategies.

Questions to guide further research may be clustered into the areas of income acquisition and management proficiencies, public policy affecting income acquisition strategies, and the ascendancy of marketing. In regard to proficiencies, surveys may be used to ask the questions,

1. Do most community colleges have the required competencies and proficiencies to raise money to achieve or maintain state standards of excellence?

2. For those colleges that do not have the required capability to raise money will the state invest in raising the colleges' advancement capability?

3. Is there a critical mass of money raised, operational budget size, and advancement competencies that correlate with a college's move from Stage III to IV on the IIAM Continuum?

4. Do colleges that function at Stage IV or V of the IIAM Continuum acquire more income?

5. A literature search and the experiences of the four colleges in this study indicate that although the purposes of the college foundations have changed to greater integrate foundation priorities with college priorities, the foundation staff are less likely to initiate program grants than the staff of the grant offices of the colleges. Is this finding generalizable to all community colleges?

Quantitative studies can be used to indicate the differences in success at these stages.

A longitudinal study could look at national trends, such as,

1. Will those colleges whose state policies allow more latitude in the types of income acquisition and management strategies have the advantages of growing more quickly in capacity and excellence, recruiting the best faculty and administrators, and growing in endowment income. Will this create an equity problem?

A survey study can give greater understanding of public policy impact on community college income acquisition and management to answer,

2. What are the public policies that inhibit or encourage the nonprofit income acquisition management and the private sector income acquisition and management of community colleges?
3. What are the public policies that inhibit or encourage integration of college foundation fundraising and other advancement activities within the income acquisition and management systems of community colleges?

In addition, a query could be made into the implications to the IIAM Continuum Model when community colleges acquire 20% or more of their operating income from profit centers and private donations. If, and when, colleges meet this threshold what does this do to the IIAM Continuum Model?

Implications for Theory and Practice

As community colleges move to greater integration along the IIAM Continuum, it is important to stress that the colleges' use of marketing principles and greater marketing competencies does not mean that they are part of the market economy. Scholars and practitioners must continue to define how much strategic freedom community colleges have in income acquisition and management. Community colleges use marketing practices as ways of creating and sustaining exchange relationships for recruiting, influencing public policy, fundraising, and selling contract courses. As seen in the four cases in this study, the administrators did not often refer to these exchange relationships as "marketing," and yet they are aware of the importance of the management of these relationships to fulfill the community college mission. When some of the marketing units report to the advancement function, some to enrollment management, some to corporate training, some to academic deans, and some to the president, it is hard to define the integrated team. It is critical that community colleges create structures and strategic

management systems that identify target markets and audiences within the mission and allocate resources to implement strategies to fulfill income acquisition and management goals.

Community college leaders should be on the lookout for best practice and theory that illuminate income acquisition and management strategy for each of the income sources. This comparative case study found that the institutional strategies of how to grow, how to gain competitive advantage, how to choose program offerings, how to gain and use technology, and how to develop professionals/faculty/staff are inextricably linked to the income acquisition and management strategy whether or not this relationship is identified on an organization chart, in a governance structure, or in a strategic plan.

APPENDIX A
CRITERIA FOR COLLEGES IN STUDY

The selection plan answered the question, "What group of colleges will help us to understand the problem?" The characteristics chosen were:

1. evidence of a public agency or private sector fund raising initiative from fy1996 to fy2000 as a response to a change in state funding as a percentage of the operating budget,
2. a stable presidency over the 5-year period,
3. an institutional structure which includes the advancement subfunctions listed in Appendix B,
4. an urban environment of a district campus or single institution with one or more campuses.
5. an enrollment range of 6,000 to 20,000 for fy2000,
6. an operations budget ranging from $26 million to $58 million for fy2000,
7. the presence of academic literature on community college advancement and its context in the college's state, and
8. active membership in the Council for Resource Development.

These characteristics give balance, variety, and an opportunity to learn. The cases are designed to illuminate the strategy and management of the colleges appropriate to their various settings as well as the economic and political situations in the community college advancement bellwether states of Florida, New York, North Carolina, and Texas. The amount of dollars raised was not used as a characteristic for selection because a relatively larger amount may not be indicative of integration if the college has one or more unusually fortuitous years in the bounded instance of the study.

In order to determine which colleges meet the criteria a benchmark profile was done to compare attributes of the schools. The four colleges chosen fit the 8 criteria listed above.

APPENDIX B
KEY MANAGEMENT ACTIVITIES ASSOCIATED WITH ADVANCEMENT FUNCTION

Comprehensive community colleges have these functions arranged in a variety of organizational structures:

<u>Academic Affairs</u>
Instruction
Remedial/Developmental Education
Continuing Education
Workforce Development

<u>Student Affairs</u>
Administration
Enrollment/Registration
Academic Counseling
Social Services
Student Activities/Athletics

<u>Advancement</u>
Institutional Research
Marketing
Resource Development
Government Relations
Community Affairs
Corporate Relations
Media Relations
Alumni Affairs
Foundation
Publications

<u>Business Administration</u>
Business and Finance
Human Resources
Purchasing
Plant Maintenance
Auxiliary Services

APPENDIX C
CASE STUDY PROTOCOLS

Field Data Collection
Research purpose:

Fieldwork is conducted for five purposes:

1. To describe the organization, management activities and role of administrators and faculty vis-à-vis community institutional advancement initiatives in selected four community colleges
2. To explain why the situations are as they are: Identify environmental, management, and political factors that influence the way income is acquired and managed in the low and high aggregated systems per the IIAM continuum
3. Identify incentives and disincentives to cooperation across units within a community college
4. Document how income acquisition and management activities were planned, implemented, and sustained.
5. Identify similarities and differences across four community college units and reasons for the similarities and differences.

Specific objectives:

1. Develop semi-structured instrument – The Case Study Interview Guide see Appendix C.

2. Reliability of data dependent upon quality and clarity of structured questions. Questions juried by: Dr. John Hall, Dr. Dale Campbell, Dr. Barbara Keener

3. Prepare for fieldwork.
    - fieldwork should be minimally obtrusive
    - maintain confidentiality to the maximum extent possible
    - Previsit preparation includes clearances, consent, scheduling, sample interview questions

4. Obtain answers to questions in field interview guide (data collection instrument see Appendix C) for individual interviews and focus groups

5. Clarify, transcribe and code data

6. Detailed notes on observations

7. Review documents
    a. for unknown, different, or changing definitions of numeric data elements:
        - make a feasible adjustments to make data more comparable
        - focus on percentage changes rather than absolute values
        - keep a record of data definition problems that have not been fully solved and estimate the impacts of these problems on the final research findings
    b. numeric data checks for reasonableness:
        - assign ranges of possible values to each data element, and check to see if any of the data fall outside of these ranges
        - check consistency across data elements
    c. deal directly with those persons most familiar with the data
    d. put request in writing and provide clear, full descriptions of data needed
    e. send data back to originators for verification

8. Code data for each case, triangulate and analyze

9. Coding protocols:

10. Triangulation protocols:

11. Analysis protocols:
    - limit analysis to specific categories and factors included in the semi-structured instrument
    - limit context description to data collected in observations, interviews, focus groups, document review and literature review on college

12. Write first case analysis and conclusions
13. Write second case analysis and conclusions
14. Write third case analysis and conclusions
15. Write fourth case analysis and conclusions
16. Write comparative case analysis and conclusions

Logistics
Each site – 3 day visit : five one hour interviews each day or
three focus groups per day and observation
One day review records, data collection

APPENDIX D
CASE STUDY INTERVIEW GUIDE

Reliability of Data

In using a semi-structured instrument the reliability of data dependent upon quality and clarity of structured questions. This interview guide was juried by:

1. Dr. H. John Hall
2. Dr. Dale F. Campbell
3. Dr. Barbara J. Keener

Comparability of data depends upon how well questions capture variations in terminology across units and different types of respondents. This study used a purposive respondent selection because the focus of the field interviews was to describe activities of management.

Collection of Data

1. Begin each interview with a brief statement re: purpose of study. Have signed consent for each participant and provide participant with a copy.
2. Break the ice with a first question about the background of respondent.
3. Record responses verbatim. Transcribe on interview form (repeat question/coding numbers used in interview guide).
4. Note interviewer's impressions, observations, or interpretations separately in brackets.
5. Clean notes same day (subject codes, themes, legible, meaningful, clarity)
6. Follow-up phone call within week if needed for clarity.
7. Send thank you note.
8. Use same procedures for handling and storing data for each case study.

Data on Context Obtained from Document Review

Theme: explanation of causalities, intentions, and motivations

- Advancement Mission, Goals, Objectives as related to institutional Mission, Purpose, Values, and Planning
- Formal organizational structure/staffing configuration changes 1995-2000
- Job descriptions, competencies, expertise, experience
- Evidence of decision making process for advancement initiative

Interview Guide

There are interview guides with different questions for different participant groups:

1. Interview Guide for Presidents
2. Interview Guide for Administrators
3. Interview Guide for Vice President of Academic Affairs
4. Interview Guide for Chief Business Officer
5. Interview Guide for Resource Development Staff

APPENDIX E
INTERVIEW GUIDES

Interview Guide: President

A. Has there been a change in funding patterns?

B. Percentage changes in operating budget during the period fy 1996 to fy 2000 for these income categories:
   - State funds
   - Local government funds
   - Federal funds
   - Tuition and student fees
   - Private funds

C. What caused the changes? Decision making process – why these responses to changes in magnitudes above?

Theme 1: Context

1.01 How are the mission and goals of the various advancement activities related to the mission and goals of the institution?

1.02 Is each of the advancement activities carried out on each campus?

1.03 Has there been a move to a more decentralized or centralized system of fund raising for private dollars?

1.04 Has there been a move to a more decentralized or centralized system of acquisition of public dollars?

1.05 Has there been a change in reporting lines? Does this change allow for more effective and efficient integration of the operations of the advancement activities? Has there been a redesign of workflow?

1.06 Describe, any organizational structure/staffing configuration changes in the departments that include advancement activities from fy1996 to fy2000. For example, title changes such as Director to Dean to VP of Advancement or the creation of a foundation.

1.07 Which administrators consider the planning and implementation of resource development activities important for the college?

1.08 Has the President taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.09 Has the VP of Academic Affairs taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.10 Have the Media Relations, Community Affairs, and/or Marketing Directors taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.11 Has the foundation director taken on a greater role in the fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.12 Has the foundation director become more involved in the strategic planning of the college as a result of the changes in funding sources?

1.13 Has the person responsible for federal grants management taken on a greater role in a) the fund raising of private dollars, b) the acquisition of public dollars, or c) the strategic planning of the college as a result of the changes in funding sources?

1.19 Have management practice and management skills changed as a result of the changes in sources of funding? For example, acquiring and managing private dollars or expertise in investment policies, etc.

1.25 What are the most pressing problems you face in income acquisition and management?

1.26 What do you think is going well with your income acquisition and management system?

Theme 2: IIAM Continuum

2.03 How are the Board of Trustees members involved in institutional advancement planning and evaluation?

2.04 What is your opinion of the overall effectiveness of the institution's planning and evaluation of the advancement activities?

2.07 Describe the extent to which the organization of the college reflects fund raising priorities and acquisition of public dollars priorities.

2.08 Describe the effectiveness of the organizational structure of the college to attain private funds and public dollar goals.

2.09 Describe how responsibility for attaining private and public dollars are communicated. What is the form of accountability for the income acquisition activities?

2.15 Describe how the college seeks additional sources of funding from the state government and if applicable, local government. Is there a sense of reconceiving identity and relationship with these government agencies?

2.16 Describe the extent to which the college seeks additional sources of funding through government grant proposals. Not state legislative appropriations

2.17 Describe the ability of the college to gain financial support from individuals, groups, businesses, corporations, and private foundations.

2.19 Where do I find evidence and artifacts of fiscal planning integrated with academic planning?

2.20 As a percentage of the operating budget, are the percentages of all the sources of income satisfactory? Why?

2.21 Is the integration of all the advancement activities satisfactory? Why?

2.22 Are tuition and student fees at a satisfactory percentage of the operating budget? Why?

2.23 How are institutional responses to drop in enrollment tied to advancement activities and financial controls? E.g. short term vs. long term investments in marketing?

2.24 Are federal Pell Grants at a satisfactory percentage of the operating budget? Why?

Theme 3: Literature on integrating advancement function and strategic planning

3.01 What are the trends in this college toward the fund raising activities becoming more of a core function? How has this changed the job of the
President
Business Officer
Marketing Director
PR director
Academic VP/Deans, etc.

3.02 Since fy1996 have you or your staff spent more time on external scanning and review of strategic plans with stakeholders? Who is involved in external scanning activities now? Evidence of college having a thorough media relations, corporate relations, and public affairs plan based on good data? E.g corporate and local agency collaborations, cross-institutional partnerships. Speakers bureau activity

3.04 As state public support decreases as a percentage of the budget are you observing these responses:
Partnering with other agencies to gain more leverage?

Reconceiving identity and relationships with public agencies – less support so public agencies have less say in mission?

3.05 State the importance of Pell Grants and student loans to the overall institutional budget.

3.08 What is the process of aligning objectives of institutional programs and objectives of state legislature for annual allocation? For matching $ program?

3.09 What is the process of aligning objectives of institutional program and objectives of local government agencies?

Theme 4: Sustaining advancement initiatives

4.01 Describe changes in your administrative role from fy1996 to fy2000 vis-à-vis fund raising and acquisition of public dollars.

4.07 Which of your staff are responsible for advancement? What are their responsibilities? Is this written in their job descriptions?

4.08 How do you orient and develop your administrator's skills to the advancement function?

4.09 How do you orient and develop your faculty's skills to the advancement function?

4.10 Where do I find evidence of reward and recognition systems for admin, staff, and faculty working on advancement activities?

4.11 Where would I find evidence of continuous views of change processes in the college income acquisition and management planning?

Interview Guide: VP Academic Affairs

A. Has there been a change in funding patterns?

B. What are the percentage changes in operating budget during the period fy 1996 to fy 2000 for these income categories:
   State funds
   Local government funds
   Federal funds
   Tuition and student fees
   Private funds

Theme 1: Context

1.01 How are the mission and goals of the various advancement activities related to the mission and goals of the institution?

1.02 Is each of the advancement activities carried out on each campus?

1.03 Has there been a move to a more decentralized or centralized system of fund raising for private dollars?

1.04 Has there been a move to a more decentralized or centralized system of acquisition of public dollars?

1.05 Has there been a change in reporting lines? Does this change allow for more effective and efficient integration of the operations of the advancement activities? Has there been a redesign of workflow?

1.06 Describe, any organizational structure/staffing configuration changes in the departments that include advancement activities from fy1996 to fy2000. For example, title changes such as Director to Dean to VP of Advancement or the creation of a foundation.

1.07 Which administrators consider the planning and implementation of resource development activities important for the college?

1.08 Has the President taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.09 Has the VP of Academic Affairs taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.10 Have the Media Relations, Community Affairs, and/or Marketing Directors taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.11 Has the foundation director taken on a greater role in the fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.12 Has the foundation director become more involved in the strategic planning of the college as a result of the changes in funding sources?

1.13 Has the person responsible for federal grants management taken on a greater role in a) the fund raising of private dollars, b) the acquisition of public dollars, or c) the strategic planning of the college as a result of the changes in funding sources?

1.14 Are faculty more involved in writing grant proposals as a result of the changes in funding sources? How?

1.15 Are the faculty more involved in implementing programs funded by grants as a result of the changes in funding sources? Why? How? For example, in response to change in state appropriation or new service and academic need.

1.16 Who initiated cooperative work on fundraising between faculty and resource development staff?

1.19 Have management practice and management skills changed as a result of the changes in sources of funding? For example identification skills, expertise in investment policies, etc.

1.25 What are the most pressing problems you face in income acquisition and management?

1.26 What do you think is going well with your income acquisition and management system?

Theme 2: IIAM Continuum

2.01 How are administrators involved in the planning and evaluation of advancement activities?

2.02 How are faculty involved in the planning of advancement activities and their evaluation? Is there a feeling of protecting core operating responsibilities of teaching and learning or is there a feeling of integrating new faculty responsibilities for grants proposal writing, implementation and management?

2.06 Describe the extent to which planning advancement activities result in actions plans and resource allocations.

2.07 Describe the extent to which the organization of the college reflects fund raising priorities and acquisition of public dollars priorities.

2.08 Describe the effectiveness of the organizational structure of the college to attain private funds and public dollar goals.

2.09 Describe how responsibility for attaining private and public dollars are communicated. What is the form of accountability for the income acquisition activities?

2.10 What is the administrative emphasis on participatory decision making about income acquisition?

2.11 From which of these categories of private sources of dollars has your college received dollars?
_____ Individuals ______ alumni _______private foundations ____ a business
_____ an industry ______ a corporate foundation _____ other

2.12 Describe the extent to which the budget allocation for the advancement activities reflects the college's mission and priorities.

2.13 Describe the communication of resource allocation decisions to employees. Have communication activities changed between the President's cabinet or faculty teams to adapt to income acquisition goals?

2.16 Describe the extent to which the college seeks additional sources of funding through government grant proposals. Not state legislative appropriations.

2.17 Describe the ability of the college to gain financial support from individuals, groups, businesses, corporations, and private foundations.

2.19 Where do I find evidence and artifacts of fiscal planning integrated with academic planning?

2.20 As a percentage of the operating budget, are the percentages of all the sources of income satisfactory? Why?

2.21 Is the integration of all the advancement activities satisfactory? Why?

2.22 Are tuition and student fees at a satisfactory percentage of the operating budget? Why?

2.23 How are institutional responses to drop in enrollment tied to advancement activities and financial controls? E.g. short term vs. long term investments in marketing?

2.24 Are federal Pell Grants at a satisfactory percentage of the operating budget? Why?

Theme 3: Literature on integrating advancement function with planning and strategic management

3.01 What are the trends in this college toward the fund raising activities becoming more of a core function? How has this changed the job of the
President
Business Officer
Marketing Director
PR director
Academic VP/Deans
Other

3.02 How are income acquisition activities becoming more a part of the academic ofcr's core job as a result of the change in income sources? For example time spent by deans, department heads, faculty on grants management increased. So how much time does VP spend on managing grant funded projects, deciding which faculty will be involved in proposals, writing, implementation and evaluation?

What percent of your time do you spend on program objectives, job descriptions, scheduling changes and calendars, plans, public statements re: advancement initiatives?

What artifacts best reflect this? E.g. meeting minutes where academic vp or designee informs fdtn staff re: curriculum development for Microsoft grant proposal. Evidence that emphasis on resource development and external relations is becoming a larger part of VP, Dean portfolio?

3.07 What is the process of aligning objectives of institutional programs and objectives of federal government grantors?

3.08 What is the process of aligning objectives of institutional programs and objectives of state legislature for annual allocation? For matching $ program?

3.09 What is the process of aligning objectives of institutional program and objectives of local government agencies?

Theme 4: Sustaining advancement initiatives

4.02 Describe changes in your academic/faulty role from fy1996 to fy2000 vis-à-vis advancement activities e.g. Are private dollars used for supplemental pay for instructors, sabbaticals, professional development, start up costs for new programs, acquisition of equipment, curriculum development?

4.03 Great ideas can fail if leaders do not support them. Can you give evidence of persistent and top level support for advancement initiatives? E.g How was the purpose of the initiative communicated? E.g., President's commitment to an advancement effort, defining and incorporating resource development goals with college goals? Board involvement with resource development?

4.04 Were new ideas for fund raising for private dollars and attaining more public funds customized? How were ideas solicited? Did you experiment with new ideas recommended by colleagues? An example of winning top-down support for experimental adoption of the new ideas? How much time devoted to making customized ideas work? Examples of management commitment and follow-up?

4.05 Were new ideas that gained top level support compatible with the beliefs and values of the institution? Were they compatible with the history, culture, past successes and failures, and resources of the institution?

4.06 Which of your staff are responsible for advancement? What are their responsibilities? Is this written in their job descriptions?

4.09 How do you orient and develop your faculty's skills to the advancement function?

4.13 Describe the quality of reporting/management information systems for the income acquisition and management system(s)

4.14 Describe the quality of training and technical assistance for the income acquisition and management system(s).

Interview Guide: Administrators

A. Has there been a change in funding patterns?

B. What are the percentage changes in operating budget during the period fy 1996 to fy 2000 for these income categories:
   - State funds
   - Local government funds
   - Federal funds
   - Tuition and student fees
   - Private funds

Theme 1: Context

1.01 How are the mission and goals of the various advancement activities related to the mission and goals of the institution?

1.02 Is each of the advancement activities carried out on each campus?

1.03 Has there been a move to a more decentralized or centralized system of fund raising for private dollars?

1.04 Has there been a move to a more decentralized or centralized system of acquisition of public dollars?

1.05 Has there been a change in reporting lines? Does this change allow for more effective and efficient integration of the operations of the advancement activities? Has there been a redesign of workflow?

1.06 Describe, any organizational structure/staffing configuration changes in the departments that include advancement activities from fy1996 to fy2000. For example, title changes such as Director to Dean to VP of Advancement or the creation of a foundation.

1.07 Which administrators consider the planning and implementation of resource development activities important for the college?

1.08 Has the President taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.09 Has the VP of Academic Affairs/Deans taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.10 Have the Media Relations, Community Affairs, and/or Marketing Directors taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.11 Has the foundation director taken on a greater role in the fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.12 Has the foundation director become more involved in the strategic planning of the college as a result of the changes in funding sources?

1.13 Has the person responsible for federal grants management taken on a greater role in a) the fund raising of private dollars, b) the acquisition of public dollars, or c) the strategic planning of the college as a result of the changes in funding sources?

1.19 Have management practice and management skills changed as a result of the changes in sources of funding? For example, acquiring and managing private dollars or expertise in investment policies, etc.

1.20 Describe how and why the number of full and part time staff changed in the departments that include advancement activities from fy1996 to fy 2000.

1.21 What were the major advancement initiatives from fy1996 to fy2000? List the resource development activities, fund raising activities by type, number, pr or marketing activities and how tied to budget and inst. goals.

1.22 Has more money been budgeted for the external and internal scanning activities as a result of the changes in revenue sources? What is the budget for the activities within each of the activities within the Advancement function?

1.25 What are the most pressing problems you face in income acquisition and management?

1.26 What do you think is going well with your income acquisition and management system?

Theme 2: IIAM Continuum

2.01 How are administrators involved in the planning and evaluation of advancement activities?

2.02 How are faculty involved in the planning of advancement activities and their evaluation? Is there a feeling of protecting core operating responsibilities of teaching and learning or is there a feeling of integrating new faculty responsibilities for grants proposal writing, implementation and management?

2.03 What is your opinion of the overall effectiveness of the institution's planning and evaluation of the advancement activities?

2.04 Is the planning and evaluation of advancement activities a continuous process? If yes, describe extent.

2.07 Describe the extent to which the organization of the college reflects fund raising priorities and acquisition of public dollars priorities.

2.08 Describe the effectiveness of the organizational structure of the college to attain private funds and public dollar goals.

2.09 Describe how responsibility for attaining private and public dollars are communicated. What is the form of accountability for the income acquisition activities?

2.10 What is the administrative emphasis on participatory decision making about income acquisition?

2.11 From which of these categories of private sources of dollars has your college received dollars?
_____ Individuals ______ alumni _______private foundations ____ a business
_____ an industry ______ a corporate foundation _____ other

2.12 Describe the extent to which the budget allocation for the advancement activities reflects the college's mission and priorities.

2.13 Describe the effectiveness of the budget revision process for the advancement activities.

2.14 Describe the communication of resource allocation decisions to employees. Have communication activities changed between the President's cabinet or faculty teams to adapt to income acquisition goals?

2.15 Describe how the college seeks additional sources of funding from the state government and if applicable, local government. Is there a sense of reconceiving identity and relationship with these government agencies?

2.16 Describe the extent to which the college seeks additional sources of funding through government grant proposals. Not state legislative appropriations

2.17 Describe the ability of the college to gain financial support from individuals, groups, businesses, corporations, and private foundations.

2.18 Where do I find evidence and artifacts of fiscal planning integrated with academic planning?

2.19 As a percentage of the operating budget, are the percentages of all the sources of income satisfactory? Why?

2.21 Is the integration of all the advancement activities satisfactory? Why?

2.22 Are tuition and student fees at a satisfactory percentage of the operating budget? Why?

2.23 How are institutional responses to drop in enrollment tied to advancement activities and financial controls? E.g. short term vs. long term investments in marketing?

Theme 3: Literature on integrating advancement function with planning and strategic management

3.01 What are the trends in this college toward the fund raising activities becoming more of a core function? How has this changed the job of the President
Business Officer
Marketing Director
PR director
Academic VP/Deans
, etc.

3.02 Since fy1996 have you or your staff spent more time on external scanning and review of strategic plans with stakeholders? Who is involved in external scanning activities now? Evidence of college having a thorough media relations, corporate relations, and public affairs plan based on good data? E.g corporate and local agency collaborations, cross-institutional partnerships. Speakers bureau activity

3.04 As state public support decreases as a percentage of the budget are you observing these responses:

Partnering with other agencies to gain more leverage?
Reconceiving identity and relationships with public agencies—less support so public agencies have less say in mission?

3.05 What is the process of aligning objectives of institutional programs and objectives of corporate donors?

3.06 What is the process of aligning objectives of institutional programs and objectives of federal government grantors?

3.07 What is the process of aligning objectives of institutional programs and objectives of state legislature for annual allocation? For matching $ program?

3.08 What is the process of aligning objectives of institutional program and objectives of local government agencies?

Theme 4: Sustaining advancement initiatives

4.01 Describe changes in your administrative role from fy1996 to fy2000 vis-à-vis fund raising and acquisition of public dollars.

4.03 Great ideas can fail if leaders do not support them. Can you give evidence of persistent and top level support for advancement initiatives? E.g How was the purpose of the initiative communicated? e.g., President's commitment to an advancement effort, defining and incorporating resource development goals with college goals? Board involvement with resource development?

4.04 Were new ideas for fund raising for private dollars and attaining more public funds customized? How were ideas solicited? Did you experiment with new ideas recommended by colleagues? An example of winning top-down support for experimental adoption of the new ideas? How much time devoted to making customized ideas work? Examples of management commitment and follow-up?

4.05 Were new ideas that gained top level support compatible with the beliefs and values of the institution? Were they compatible with the history, culture, past successes and failures, and resources of the institution?

4.06 How do you know when an objective has been completed? Clear definitions of management activities and objectives? How do you assess relative advantages of objective or activity over other alternatives? With whom do you benchmark?

4.07 Which of your staff are responsible for advancement? What are their responsibilities? Is this written in their job descriptions?

4.08 How do you orient and develop your administrator's skills to the advancement function?

4.11 Where would I find evidence of continuous views of change processes in the college income acquisition and management planning?

4.12 Where would I find evidence of coherent planning and budgeting e.g. goals, objectives, assessment

4.13 Describe the quality of reporting/management information systems for the income acquisition and management system(s)

4.14 Describe the quality of training and technical assistance for the income acquisition and management system(s).

Interview Guide: Resource Development Staff

A. Has there been a change in funding patterns?

B. What are the percentage changes in operating budget during the period fy 1996 to fy 2000 for these income categories:
State funds
Local government funds
Federal funds
Tuition and student fees
Private funds

Theme 1: Context

1.01 How are the mission and goals of the various advancement activities related to the mission and goals of the institution?

1.02 Is each of the advancement activities carried out on each campus?

1.03 Has there been a move to a more decentralized or centralized system of fund raising for private dollars?

1.04 Has there been a move to a more decentralized or centralized system of acquisition of public dollars?

1.05 Has there been a change in reporting lines? Does this change allow for more effective and efficient integration of the operations of the advancement activities? Has there been a redesign of workflow?

1.06 Describe, any organizational structure/staffing configuration changes in the departments that include advancement activities from fy1996 to fy2000. For example, title changes such as Director to Dean to VP of Advancement or the creation of a foundation.

1.07 Which administrators consider the planning and implementation of resource development activities important for the college?

1.08 Has the President taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.09 Has the VP of Academic Affairs taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.10 Have the Media Relations, Community Affairs, and/or Marketing Directors taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.11 Has the foundation director taken on a greater role in the fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.12 Has the foundation director become more involved in the strategic planning of the college as a result of the changes in funding sources?

1.13 Has the person responsible for federal grants management taken on a greater role in a) the fund raising of private dollars, b) the acquisition of public dollars, or c) the strategic planning of the college as a result of the changes in funding sources?

1.14 Are faculty more involved in writing grant proposals as a result of the changes in funding sources? How?

1.15 Are the faculty more involved in implementing programs funded by grants as a result of the changes in funding sources? Why? How? For example, in response to change in state appropriation or new service and academic need.

1.16 Who initiated cooperative work on fundraising between faculty and resource development staff?

1.17 Are there competency requirements or preferred qualifications, and what are they, for resource development staff? e.g expertise or length of time in field, CFRE certified,

1.19 Have management practice and management skills changed as a result of the changes in sources of funding? For example, acquiring and managing private dollars or expertise in investment policies, etc.

1.20 Describe how and why the number of full and part time staff changed in the departments that include advancement activities from fy1996 to fy 2000.

1.21 What were the major advancement initiatives from fy1996 to fy2000? List the resource development activities, fund raising activities by type, number, pr or marketing activities and how tied to budget and inst. goals.

1.22 Has more money been budgeted for the external and internal scanning activities as a result of the changes in revenue sources? What is the budget for the activities within each of the activities within the Advancement function?

1.23 What were the percentage changes in operating budget during the period fy 96 to fy 2000 for these income categories:
state funds

local government funds
federal funds
tuition and student fees
private funds

1.24 For the declines in operating budget (percentages in question, 1.23) what were the institutional responses to the funding decline? (analysis – for the selected colleges how do the types of income decline and responses to the decline compare with the types and responses in the lit? In the continuum?)

1.25 What are the most pressing problems you face in income acquisition and management?

1.26 What do you think is going well with your income acquisition and management system?

Theme 2: IIAM Continuum

2.01 How are administrators involved in the planning and evaluation of advancement activities?

2.02 How are faculty involved in the planning of advancement activities and their evaluation? Is there a feeling of protecting core operating responsibilities of teaching and learning or is there a feeling of integrating new faculty responsibilities for grants proposal writing, implementation and management?

2.03 How are the Board of Trustees members involved in institutional advancement planning and evaluation?

2.04 What is your opinion of the overall effectiveness of the institution's planning and evaluation of the advancement activities?

2.05 Is the planning and evaluation of advancement activities a continuous process? If yes, describe extent.

2.06 Describe the extent to which planning advancement activities result in actions plans and resource allocations.

2.07 Describe the extent to which the organization of the college reflects fund raising priorities and acquisition of public dollars priorities.

2.08 Describe the effectiveness of the organizational structure of the college to attain private funds and public dollar goals.

2.09 Describe how responsibility for attaining private and public dollars are communicated. What is the form of accountability for the income acquisition activities?

2.10 What is the administrative emphasis on participatory decision making about income acquisition?

2.11 From which of these categories of private sources of dollars has your college received dollars?
_____ Individuals ______ alumni _______private foundations ____ a business
_____ an industry ______ a corporate foundation _____ other

2.12 Describe the extent to which the budget allocation for the advancement activities reflects the college's mission and priorities.

2.13 Describe the effectiveness of the budget revision process for the advancement activities.

2.14 Describe the communication of resource allocation decisions to employees. Have communication activities changed between the President's cabinet or faculty teams to adapt to income acquisition goals?

2.16 Describe the extent to which the college seeks additional sources of funding through government grant proposals. Not state legislative appropriations.

2.18 Where do I find evidence and artifacts of fiscal planning integrated with the advancement function (resource dev, marketing, government affairs, media relations, community affairs, inst research, foundation, alumni affairs, corporate relations, publications)?

2.19 Where do I find evidence and artifacts of fiscal planning integrated with academic planning?

2.20 As a percentage of the operating budget, are the percentages of all the sources of income satisfactory? Why?

2.21 Is the integration of all the advancement activities satisfactory? Why?

2.22 Are tuition and student fees at a satisfactory percentage of the operating budget? Why?

2.23 How are institutional responses to drop in enrollment tied to advancement activities and financial controls? E.g. short term vs. long term investments in marketing?

2.24 Are federal Pell Grants at a satisfactory percentage of the operating budget? Why?

Theme 3: Literature on integrating advancement function with planning and strategic management

3.01 What are the trends in this college toward the fund raising activities becoming more of a core function? How has this changed the job of the
 President
 Business Officer
 Marketing Director
 PR director
 Academic VP/Deans
 Other

3.02 Since fy1996 have you or your staff spent more time on external scanning and review of strategic plans with stakeholders? Who is involved in external scanning activities now? Evidence of college having a thorough media relations, corporate relations, and public affairs plan based on good data? E.g corporate and local agency collaborations, cross-institutional partnerships. Speakers bureau activity

3.04 As state public support decreases as a percentage of the budget are you observing these responses:
 Partnering with other agencies to gain more leverage?

 Reconceiving identity and relationships with public agencies – less support so public agencies have less say in mission?

3.05 What is the process of aligning objectives of institutional programs and objectives of corporate donors?

3.05.1 What is the process of aligning objectives of institutional programs and objectives of federal government grantors?

Theme 4: Sustaining advancement initiatives

4.01 Describe changes in your administrative role from fy1996 to fy2000 vis-à-vis fund raising and acquisition of public dollars.

4.03 Great ideas can fail if leaders do not support them. Can you give evidence of persistent and top level support for advancement initiatives? E.g How was the purpose of the initiative communicated? E.g., President's commitment to an

advancement effort, defining and incorporating resource development goals with college goals? Board involvement with resource development?

4.04 Were new ideas for fund raising for private dollars and attaining more public funds customized? How were ideas solicited? Did you experiment with new ideas recommended by colleagues? An example of winning top-down support for experimental adoption of the new ideas? How much time devoted to making customized ideas work? Examples of management commitment and follow-up?

4.06 How do you know when an objective has been completed? Clear definitions of management activities and objectives? How do you assess relative advantages of objective or activity over other alternatives? With whom do you benchmark?

4.09 How do you orient and develop your faculty's skills to the advancement function?

4.10 Where do I find evidence of reward and recognition systems for admin, staff, and faculty working on advancement activities?

4.13 Describe the quality of reporting/management information systems for the income acquisition and management system(s).

Interview Guide: Chief Business Officer

A. Has there been a change in funding patterns?

B. What are the percentage changes in operating budget during the period fy 1996 to fy 2000 for these income categories:
State funds
Local government funds
Federal funds
Tuition and student fees
Private funds

Theme 1: Context

1.01 How are the mission and goals of the various advancement activities related to the mission and goals of the institution?

1.02 Is each of the advancement activities carried out on each campus?

1.03 Has there been a move to a more decentralized or centralized system of fund raising for private dollars?

1.04 Has there been a move to a more decentralized or centralized system of acquisition of public dollars?

1.05 Has there been a change in reporting lines? Does this change allow for more effective and efficient integration of the operations of the advancement activities? Has there been a redesign of workflow?

1.06 Describe, any organizational structure/staffing configuration changes in the departments that include advancement activities from fy1996 to fy2000. For example, title changes such as Director to Dean to VP of Advancement or the creation of a foundation.

1.07 Which administrators consider the planning and implementation of resource development activities important for the college?

1.08 Has the President taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.09 Has the VP of Academic Affairs taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.10 Have the Media Relations, Community Affairs, and/or Marketing Directors taken on a greater role in fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.11 Has the foundation director taken on a greater role in the fund raising of private dollars or the acquisition of public dollars as a result of the changes in funding sources?

1.12 Has the foundation director become more involved in the strategic planning of the college as a result of the changes in funding sources?

1.13 Has the person responsible for federal grants management taken on a greater role in a) the fund raising of private dollars, b) the acquisition of public dollars, or c) the strategic planning of the college as a result of the changes in funding sources?

1.19 Have management practice and management skills changed as a result of the changes in sources of funding? For example, acquiring and managing private dollars or expertise in investment policies, etc.

1.22 Has more money been budgeted for the external and internal scanning activities as a result of the changes in revenue sources? What is the budget for the activities within each of the activities within the Advancement function?

1.23 What were the percentage changes in operating budget during the period fy 96 to fy 2000 for these income categories:
state funds
local government funds
federal funds
tuition and student fees
private funds

1.24 For the declines in operating budget (percentages in question, 1.23) what were the institutional responses to the funding decline? (analysis – for the selected colleges how do the types of income decline and responses to the decline compare with the types and responses in the lit? In the continuum?)

1.25 What are the most pressing problems you face in income acquisition and management?

1.26 What do you think is going well with your income acquisition and management system?

Theme 2: IIAM Continuum

2.04 What is your opinion of the overall effectiveness of the institution's planning and evaluation of the advancement activities?

2.06 Describe the extent to which planning advancement activities result in actions plans and resource allocations.

2.07 Describe the extent to which the organization of the college reflects fund raising priorities and acquisition of public dollars priorities.

2.08 Describe the effectiveness of the organizational structure of the college to attain private funds and public dollar goals.

2.10 what is the administrative emphasis on participatory decision making about income acquisition?

2.11 From which of these categories of private sources of dollars has your college received dollars?

_____ Individuals ______ alumni _______private foundations ____ a business
_____ an industry ______ a corporate foundation _____ other

2.12 Describe the extent to which the budget allocation for the advancement activities reflects the college's mission and priorities.

2.13 Describe the effectiveness of the budget revision process for the advancement activities.

2.14 Describe the communication of resource allocation decisions to employees. Have communication activities changed between the President's cabinet or faculty teams to adapt to income acquisition goals?

2.15 Describe how the college seeks additional sources of funding from the state government and if applicable, local government. Is there a sense of reconceiving identity and relationship with these government agencies?

2.16 Describe the extent to which the college seeks additional sources of funding through government grant proposals. Not state legislative appropriations.

2.17 Describe the ability of the college to gain financial support from individuals, groups, businesses, corporations, and private foundations.

2.18 Where do I find evidence and artifacts of fiscal planning integrated with the advancement function (resource dev, marketing, government affairs, media

relations, community affairs, inst research, foundation, alumni affairs, corporate relations, publications)?

2.19 Where do I find evidence and artifacts of fiscal planning integrated with academic planning?

2.20 As a percentage of the operating budget, are the percentages of all the sources of income satisfactory? Why?

2.21 Is the integration of all the advancement activities satisfactory? Why?

2.22 Are tuition and student fees at a satisfactory percentage of the operating budget? Why?

2.23 How are institutional responses to drop in enrollment tied to advancement activities and financial controls? E.g. short term vs. long term investments in marketing?

2.24 Are federal Pell Grants at a satisfactory percentage of the operating budget? Why?

<u>Theme 3: Literature on integrating advancement function with planning and strategic management</u>

3.01 What are the trends in this college toward the fund raising activities becoming more of a core function? How has this changed the job of the

President
Business Officer
Marketing Director
PR director
Academic VP/Deans
other

3.05 State the importance of Pell Grants and student loans to the overall institutional budget.

3.06 What is the process of aligning objectives of institutional programs and objectives of corporate donors?

3.08 What is the process of aligning objectives of institutional programs and objectives of state legislature for annual allocation? For matching $ program?

3.09 What is the process of aligning objectives of institutional program and objectives of local government agencies?

Theme 4: Sustaining advancement initiatives

4.01 Describe changes in your administrative role from fy1996 to fy2000 vis-à-vis fund raising and acquisition of public dollars.

4.03 Great ideas can fail if leaders do not support them. Can you give evidence of persistent and top level support for advancement initiatives? E.g How was the purpose of the initiative communicated? E.g., President's commitment to an advancement effort, defining and incorporating resource development goals with college goals? Board involvement with resource development?

4.05 Were new ideas that gained top level support compatible with the beliefs and values of the institution? Were they compatible with the history, culture, past successes and failures, and resources of the institution?

4.12 Where would I find evidence of coherent planning and budgeting e.g. goals, objectives, assessment

4.13 Describe the quality of reporting/management information systems for the income acquisition and management system(s)

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BIOGRAPHICAL SKETCH

Ms. Birmingham has 20 years of experience in the nonprofit sector and higher education with competencies in finance, fund development, marketing, board training and development, public relations and community affairs, program development and evaluation, and general management. As an instructor of business and management and of education she has developed courses in nonprofit management and finance, small business management, human resource management, marketing/public relations, leadership, business law, and foundations of education.

As senior associate for The Research Group, a private consulting firm she has with her husband, Kathryn writes strategic plans, fund development plans, and communications plans and evaluates nonprofit and educational programs and grants management. Her publications include journalism, educational research, and published plans.

As assistant director of Community College Business Officers, Birmingham developed curriculum for their Leadership Academy, planned the annual conference, and provided for marketing and membership services. She received the 2001 Building Learning Communities Award for her leadership and contributions to the University of Florida Higher Education Administration program from 1999-2001.

As director of the Public Relations Department for St. Johns River Community College and Florida School of the Arts, Ms. Birmingham oversaw all media relations,

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Her interests include big game fishing, folk art, travel, and contemporary novels.

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